

Acknowledgements

The Federal Aviation Administration would like to thank other Federal Agencies and their employees for materials used in the development of this guide. Some materials used in preparing this guide were previously developed by the Performance Appraisal Services Division, Office of Personnel Management, and the Bureau of Printing and Engraving, Department of Treasury.

SUPERVISOR'S DESK GUIDE
for the
Federal Aviation Administration's
General Performance Appraisal System

Federal Aviation Administration
U.S. Department of Transportation
May **1981**

SUPERVISOR'S DESK GUIDE
for the
Federal Aviation Administration's
General Performance Appraisal System

Federal Aviation Administration
U.S. Department of Transportation
May **1981**

Contents

	<u>Page</u>
Table of Exhibits	i
1. How To Use This Desk Guide.	1
2. Introduction to the FAA's General Performance Appraisal System	3
Purpose and Benefits of the System	6
Supervisory and Employee Responsibilities.	8
Overview of the System	11
3. Analyzing the Employee's Position	15
Reviewing the Employee's Position Description.	19
Identifying Job Elements	21
Analyzing the Position Description.	22
Grouping Common Work Tasks.	27
Designating Critical and Other Job Elements	32
Weighting Job Elements	34
4. Writing Performance Standards	37
Writing a Performance Standard	41
Communicating Performance Standards.	47
5. Conducting Performance Reviews.	53
Assessing Performance.	58
Taking Planned Corrective Actions.	66
Revising Performance Standards	69
Meeting with the Employee to Review Progress	70
6. Conducting the Annual Appraisal Interview	75
Preparing for the Interview.	79
Providing Feedback and Direction	81
7. Completing the Annual Appraisal Document.	87
Section I: Employee/Supervisory Identification	89
Section II: Supervisor Certification.	100
Section III: Second-Level Supervisory Review	101
Section IV: Employee Certification.	102
Section V: Job Element Appraisal Form.	103
Section VI: Annual Performance Rating	106
Section VII: Acceptable Level of Competence.	107
Determination	
Section VIII: Recommendations	108
Section IX: Remarks	110
Appendices	
A - Quick Summary of Performance Appraisal Steps	113
B - Requirements for Documenting and Maintaining	131
Records	
C - How Performance Appraisal Links with Other	132
Personnel Records	
D - Example Job Elements and Performance Standards	135
Glossary	139

Contents

	<u>Page</u>
Table of Exhibits	i
1. How To Use This Desk Guide.	1
2. Introduction to the FAA's General Performance	3
Appraisal System	
Purpose and Benefits of the System	6
Supervisory and Employee Responsibilities.	8
Overview of the System	11
3. Analyzing the Employee's Position	15
Reviewing the Employee's Position Description.	19
Identifying Job Elements	21
Analyzing the Position Description.	22
Grouping Common Work Tasks.	27
Designating Critical and Other Job Elements	32
Weighting Job Elements	34
4. Writing Performance Standards	37
Writing a Performance Standard	41
Communicating Performance Standards.	47
5. Conducting Performance Reviews.	53
Assessing Performance.	58
Taking Planned Corrective Actions.	66
Revising Performance Standards	69
Meeting with the Employee to Review Progress	70
6. Conducting the Annual Appraisal Interview	75
Preparing for the Interview.	79
Providing Feedback and Direction	81
7. Completing the Annual Appraisal Document.	87
Section I: Employee/Supervisory Identification	89
Section II: Supervisor Certification.	100
Section III: Second-Level Supervisory Review	101
Section IV: Employee Certification.	102
Section V: Job Element Appraisal Form.	103
Section VI: Annual Performance Rating	106
Section VII: Acceptable Level of Competence.	107
Determination	
Section VIII: Recommendations	108
Section IX: Remarks	110
Appendices	
A - Quick Summary of Performance Appraisal Steps	113
B - Requirements for Documenting and Maintaining	131
Records	
C - How Performance Appraisal Links with Other	132
Personnel Records	
D - Example Job Elements and Performance Standards	135
Glossary	139

Contents

	<u>Page</u>
Table of Exhibits	i
1. How To Use This Desk Guide.	1
2. Introduction to the FAA's General Performance	3
Appraisal System	
Purpose and Benefits of the System	6
Supervisory and Employee Responsibilities.	8
Overview of the System	11
3. Analyzing the Employee's Position	15
Reviewing the Employee's Position Description.	19
Identifying Job Elements	21
Analyzing the Position Description.	22
Grouping Common Work Tasks.	27
Designating Critical and Other Job Elements	32
Weighting Job Elements	34
4. Writing Performance Standards	37
Writing a Performance Standard	41
Communicating Performance Standards.	47
5. Conducting Performance Reviews.	53
Assessing Performance.	58
Taking Planned Corrective Actions.	66
Revising Performance Standards	69
Meeting with the Employee to Review Progress	70
6. Conducting the Annual Appraisal Interview	75
Preparing for the Interview.	79
Providing Feedback and Direction	81
7. Completing the Annual Appraisal Document.	87
Section I: Employee/Supervisory Identification	89
Section II: Supervisor Certification.	100
Section III: Second-Level Supervisory Review	101
Section IV: Employee Certification.	102
Section V: Job Element Appraisal Form.	103
Section VI: Annual Performance Rating	106
Section VII: Acceptable Level of Competence.	107
Determination	
Section VIII: Recommendations	108
Section IX: Remarks	110
Appendices	
A - Quick Summary of Performance Appraisal Steps	113
B - Requirements for Documenting and Maintaining	131
Records	
C - How Performance Appraisal Links with Other	132
Personnel Records	
D - Example Job Elements and Performance Standards	135
Glossary	139

How this Guide is organized

Chapter 2 will give you an overview of the system and its major steps. Chapters 3 through 7 each describe a major phase or step in the performance appraisal process. The appendices contain a quick-reference summary of all key steps, details on requirements you must meet and a glossary of terms.

How each chapter is organized

Each of Chapters 3 through 6 follow a similar pattern

- Chapter table of contents
- Chapter overview, including main topics and objectives for the chapter
- Discussion of each major step covered including:
 - what the step is
 - what the step does
 - why it is important
 - how it relates to other steps
 - example of the step completed
 - how to do the step
 - how to evaluate your work
- Chapter summary

How to use this Guide

The following table describes how a supervisor could use this Guide based on his/her needs:

Your Need	Actions
<ul style="list-style-type: none"> • Initially learn how to implement the FAA system 	<ol style="list-style-type: none"> 1. Read the entire Desk Guide 2. Practice each step by following the procedures, looking at the examples and evaluating your work with the checklists
<ul style="list-style-type: none"> • On-the-job guidance, once you know how to do each step 	<ol style="list-style-type: none"> 1. Quickly read Chapters 2-7 2. Use the summary procedures in Appendix A to guide you through the process
<ul style="list-style-type: none"> • Look up specific topics 	<ol style="list-style-type: none"> 1. Use any one or all of the following reference features of this Guide: <ul style="list-style-type: none"> • Overall Table of Contents • Table of Exhibits • Chapter Table of Contents • Glossary

How this Guide is organized

Chapter 2 will give you an overview of the system and its major steps. Chapters 3 through 7 each describe a major phase or step in the performance appraisal process. The appendices contain a quick-reference summary of all key steps, details on requirements you must meet and a glossary of terms.

How each chapter is organized

Each of Chapters 3 through 6 follow a similar pattern

- Chapter table of contents
- Chapter overview, including main topics and objectives for the chapter
- Discussion of each major step covered including:
 - what the step is
 - what the step does
 - why it is important
 - how it relates to other steps
 - example of the step completed
 - how to do the step
 - how to evaluate your work
- Chapter summary

How to use this Guide

The following table describes how a supervisor could use this Guide based on his/her needs:

Your Need	Actions
<ul style="list-style-type: none"> • Initially learn how to implement the FAA system 	<ol style="list-style-type: none"> 1. Read the entire Desk Guide 2. Practice each step by following the procedures, looking at the examples and evaluating your work with the checklists
<ul style="list-style-type: none"> • On-the-job guidance, once you know how to do each step 	<ol style="list-style-type: none"> 1. Quickly read Chapters 2-7 2. Use the summary procedures in Appendix A to guide you through the process
<ul style="list-style-type: none"> • Look up specific topics 	<ol style="list-style-type: none"> 1. Use any one or all of the following reference features of this Guide: <ul style="list-style-type: none"> • Overall Table of Contents • Table of Exhibits • Chapter Table of Contents • Glossary

How this Guide is organized

Chapter 2 will give you an overview of the system and its major steps. Chapters 3 through 7 each describe a major phase or step in the performance appraisal process. The appendices contain a quick-reference summary of all key steps, details on requirements you must meet and a glossary of terms.

How each chapter is organized

Each of Chapters 3 through 6 follow a similar pattern

- Chapter table of contents
- Chapter overview, including main topics and objectives for the chapter
- Discussion of each major step covered including:
 - what the step is
 - what the step does
 - why it is important
 - how it relates to other steps
 - example of the step completed
 - how to do the step
 - how to evaluate your work
- Chapter summary

How to use this Guide

The following table describes how a supervisor could use this Guide based on his/her needs:

Your Need	Actions
<ul style="list-style-type: none"> • Initially learn how to implement the FAA system 	<ol style="list-style-type: none"> 1. Read the entire Desk Guide 2. Practice each step by following the procedures, looking at the examples and evaluating your work with the checklists
<ul style="list-style-type: none"> • On-the-job guidance, once you know how to do each step 	<ol style="list-style-type: none"> 1. Quickly read Chapters 2-7 2. Use the summary procedures in Appendix A to guide you through the process
<ul style="list-style-type: none"> • Look up specific topics 	<ol style="list-style-type: none"> 1. Use any one or all of the following reference features of this Guide: <ul style="list-style-type: none"> • Overall Table of Contents • Table of Exhibits • Chapter Table of Contents • Glossary

CHAPTER 2

Introduction to ' the General Performance Appraisal System

CHAPTER OVERVIEW

Introduction	We will begin our discussion of the FAA's General Performance Appraisal System with an overview of the system and its intent. Chapters 3-7 will give you the details necessary to implement the system.
What this chapter will cover	Chapter 2 will discuss the purpose, benefits, and steps of the FAA system. In addition, it will discuss the rights and responsibilities of the people involved.
Objectives	<p>At the end of this chapter you will be able to:</p> <ul style="list-style-type: none">• Describe the objectives of the FAA system• Describe the benefits of the system to the employee• Describe the responsibilities of the supervisor and employee• Outline the major steps of the process including<ul style="list-style-type: none">-what it is-what it does-when it occurs-why it is important

CHAPTER 2

Introduction to ' the General Performance Appraisal System

CHAPTER OVERVIEW

Introduction	We will begin our discussion of the FAA's General Performance Appraisal System with an overview of the system and its intent. Chapters 3-7 will give you the details necessary to implement the system.
What this chapter will cover	Chapter 2 will discuss the purpose, benefits, and steps of the FAA system. In addition, it will discuss the rights and responsibilities of the people involved.
Objectives	<p>At the end of this chapter you will be able to:</p> <ul style="list-style-type: none">• Describe the objectives of the FAA system• Describe the benefits of the system to the employee• Describe the responsibilities of the supervisor and employee• Outline the major steps of the process including<ul style="list-style-type: none">-what it is-what it does-when it occurs-why it is important

Introduction to the General Performance Appraisal System

SUPERVISORY AND EMPLOYEE RESPONSIBILITIES

Introduction This section will discuss what steps of the system are assigned to the **first-** and second-level supervisors, and what responsibilities an employee has under the system.

Definitions Covered employee is an individual who occupies a position in the General Schedule or Federal Wage System which is either:

- below grade **13**
- or
- grade **13** or above, but not in the merit pay or senior executive service systems

Covered supervisor is an individual:

- who occupies a position that is classified no higher than **GS-12** and
- whose position is classified under the Supervisory Grade Evaluation Guide (**SSEG**) as "supervisory", or is classified under the Job Grading Standard for Supervisors (for Federal Wage System Employees) as "supervisory"

Immediate supervisor is the first official level of supervision over a covered employee which has the responsibilities of assigning performance appraisals and recommending awards.

Second-level supervisor is the second official level of supervision over a covered employee.

Introduction to the General Performance Appraisal System

SUPERVISORY AND EMPLOYEE RESPONSIBILITIES

Introduction This section will discuss what steps of the system are assigned to the **first-** and second-level supervisors, and what responsibilities an employee has under the system.

Definitions Covered employee is an individual who occupies a position in the General Schedule or Federal Wage System which is either:

- below grade **13**
- or
- grade **13** or above, but not in the merit pay or senior executive service systems

Covered supervisor is an individual:

- who occupies a position that is classified no higher than **GS-12** and
- whose position is classified under the Supervisory Grade Evaluation Guide (**SSEG**) as "supervisory", or is classified under the Job Grading Standard for Supervisors (for Federal Wage System Employees) as "supervisory"

Immediate supervisor is the first official level of supervision over a covered employee which has the responsibilities of assigning performance appraisals and recommending awards.

Second-level supervisor is the second official level of supervision over a covered employee.

Introduction to the General Performance Appraisal System

SUPERVISORY AND EMPLOYEE RESPONSIBILITIES

Introduction This section will discuss what steps of the system are assigned to the **first-** and second-level supervisors, and what responsibilities an employee has under the system.

Definitions Covered employee is an individual who occupies a position in the General Schedule or Federal Wage System which is either:

- below grade **13**
- or
- grade **13** or above, but not in the merit pay or senior executive service systems

Covered supervisor is an individual:

- who occupies a position that is classified no higher than **GS-12** and
- whose position is classified under the Supervisory Grade Evaluation Guide (**SSEG**) as "supervisory", or is classified under the Job Grading Standard for Supervisors (for Federal Wage System Employees) as "supervisory"

Immediate supervisor is the first official level of supervision over a covered employee which has the responsibilities of assigning performance appraisals and recommending awards.

Second-level supervisor is the second official level of supervision over a covered employee.

Step	When it occurs	What it is	What it does	Why it is important
1. Review employee's position description (Chapter 3)	Prior to beginning of each appraisal period	Chance to make sure position description is accurate	Verifies accuracy or allows a change to be made	Verifies criteria against which the job- relatedness of the performance standards will be judged
2. Identify or verify existing critical and other job elements (Chapter 3)	Prior to beginning of each appraisal period	Chance to organize the job into a few key areas where performance is important	Identifies a list of 7 or less elements for which performance standards will be developed	Allows the supervisor flexibility in empha- sizing parts of the job the employee will be evaluated on
3. Write or verify existing performance standards (Chapter 4)	Prior to beginning of each appraisal period	Chance to identify objective measures and expected levels of performance	Creates a list of standards which will be used to evaluate employee performance	Spells out concretely what the supervisor expects of the employee
4. Conduct initial interview (Chapter 4)	Month 1	Chance to discuss performance standards with the employee	Gets employee's commitment to the standards he/she will be evaluated on	Prevents surprises at year's end and gives the employee a clear set of expectations to meet
5. Conduct progress reviews (Chapter 5)	Month 6 and as needed	Chance to give feedback and eval- uate performance in time to correct or improve it	Documents progress toward achieving the agreed upon standards	Allows the standards to change as needed and prevents any surprises at appraisal time

Step	When it occurs	What it is	What it does	Why it is important
1. Review employee's position description (Chapter 3)	Prior to beginning of each appraisal period	Chance to make sure position description is accurate	Verifies accuracy or allows a change to be made	Verifies criteria against which the job- relatedness of the performance standards will be judged
2. Identify or verify existing critical and other job elements (Chapter 3)	Prior to beginning of each appraisal period	Chance to organize the job into a few key areas where performance is important	Identifies a list of 7 or less elements for which performance standards will be developed	Allows the supervisor flexibility in empha- sizing parts of the job the employee will be evaluated on
3. Write or verify existing performance standards (Chapter 4)	Prior to beginning of each appraisal period	Chance to identify objective measures and expected levels of performance	Creates a list of standards which will be used to evaluate employee performance	Spells out concretely what the supervisor expects of the employee
4. Conduct initial interview (Chapter 4)	Month 1	Chance to discuss performance standards with the employee	Gets employee's commitment to the standards he/she will be evaluated on	Prevents surprises at year's end and gives the employee a clear set of expectations to meet
5. Conduct progress reviews (Chapter 5)	Month 6 and as needed	Chance to give feedback and eval- uate performance in time to correct or improve it	Documents progress toward achieving the agreed upon standards	Allows the standards to change as needed and prevents any surprises at appraisal time

Introduction to the General Performance Appraisal System

CHAPTER SUMMARY

Summary

/

Chapter two discussed the objectives of the system; and the benefits to the employee of knowing what is expected and being evaluated on objective criteria were summarized. The responsibilities of the employee and the first- and second-level supervisor were outlined. Finally, the steps of the process were summarized and the stage set for discussing each step in detail.

Introduction to the General Performance Appraisal System

CHAPTER SUMMARY

Summary

/

Chapter two discussed the objectives of the system; and the benefits to the employee of knowing what is expected and being evaluated on objective criteria were summarized. The responsibilities of the employee and the first- and second-level supervisor were outlined. Finally, the steps of the process were summarized and the stage set for discussing each step in detail.

Introduction to the General Performance Appraisal System

CHAPTER SUMMARY

Summary

/

Chapter two discussed the objectives of the system; and the benefits to the employee of knowing what is expected and being evaluated on objective criteria were summarized. The responsibilities of the employee and the first- and second-level supervisor were outlined. Finally, the steps of the process were summarized and the stage set for discussing each step in detail.

CHAPTER 3

Analyzing the Employee's Position

CHAPTER OVERVIEW

Introduction

We have discussed the purpose, benefits and steps of the FAA's General Performance Appraisal System. The next two chapters will deal with what must be accomplished at the beginning of the appraisal period:

- Analyzing the Employee's Position, and
- Developing Performance Standards

What this chapter will cover

Chapter 3 will deal with three main topics:

- Reviewing the Employee's Position Description
- Identifying Job Elements
- Weighting Job Elements

Objectives

At the end of this chapter you will be able to:

- Decide if an employee's Position Description is accurate and valid
- Revise the Position Description, if necessary
- Develop a list of work tasks from the Position Description
- Reduce this list of work tasks to a manageable number
- Designate Critical and Other Job Elements
- Weight the percentage importance of all Job Elements

Final product of this chapter

An example of the final product produced by the procedures of Chapter 3 can be found on pages 30 and 34.

CHAPTER 3

Analyzing the Employee's Position

CHAPTER OVERVIEW

Introduction

We have discussed the purpose, benefits and steps of the FAA's General Performance Appraisal System. The next two chapters will deal with what must be accomplished at the beginning of the appraisal period:

- Analyzing the Employee's Position, and
- Developing Performance Standards

What this chapter will cover

Chapter 3 will deal with three main topics:

- Reviewing the Employee's Position Description
- Identifying Job Elements
- Weighting Job Elements

Objectives

At the end of this chapter you will be able to:

- Decide if an employee's Position Description is accurate and valid
- Revise the Position Description, if necessary
- Develop a list of work tasks from the Position Description
- Reduce this list of work tasks to a manageable number
- Designate Critical and Other Job Elements
- Weight the percentage importance of all Job Elements

Final product of this chapter

An example of the final product produced by the procedures of Chapter 3 can be found on pages 30 and 34.

Analyzing the Employee's Position

REVIEWING THE EMPLOYEE'S POSITION DESCRIPTION

What is this step?

Reviewing the employee's position description (P.D.) is the first step in analyzing the employee's position. It is an opportunity to make sure that the position description is complete, valid and accurate.

What does this step do?

This step verifies that the position description is adequate or directs the supervisor to change it as necessary.

Why is this step important?

The FAA General Performance Appraisal System requires that the employee's work performance be measured against job related performance standards. The official position description must be used as a basis for **identifying** these standards.

How does this step relate to other components of the system?

The position description is used to identify critical and other job elements, which in turn are used to develop performance standards.

How to review the position description

Step	Procedure
1.	Read the employee's official position description.
2.	<p>Determine if the position description is complete and accurate. The duties and responsibilities listed should:</p> <ul style="list-style-type: none"> -be necessary to achieve the purpose and intent of the position -be <u>correct</u> and -be consistent with the <u>actual</u> work tasks performed by this employee on the job. <p>If the position description is accurate, skip to page 21.</p>

(continued on next page)

Analyzing the Employee's Position

REVIEWING THE EMPLOYEE'S POSITION DESCRIPTION

What is this step?

Reviewing the employee's position description (P.D.) is the first step in analyzing the employee's position. It is an opportunity to make sure that the position description is complete, valid and accurate.

What does this step do?

This step verifies that the position description is adequate or directs the supervisor to change it as necessary.

Why is this step important?

The FAA General Performance Appraisal System requires that the employee's work performance be measured against job related performance standards. The official position description must be used as a basis for **identifying** these standards.

How does this step relate to other components of the system?

The position description is used to identify critical and other job elements, which in turn are used to develop performance standards.

How to review the position description

Step	Procedure
1.	Read the employee's official position description.
2.	<p>Determine if the position description is complete and accurate. The duties and responsibilities listed should:</p> <ul style="list-style-type: none"> -be necessary to achieve the purpose and intent of the position -be <u>correct</u> and -be consistent with the <u>actual</u> work tasks performed by this employee on the job. <p>If the position description is accurate, skip to page 21.</p>

(continued on next page)

Analyzing the Employee's Position

REVIEWING THE EMPLOYEE'S POSITION DESCRIPTION

What is this step?

Reviewing the employee's position description (P.D.) is the first step in analyzing the employee's position. It is an opportunity to make sure that the position description is complete, valid and accurate.

What does this step do?

This step verifies that the position description is adequate or directs the supervisor to change it as necessary.

Why is it so important?

The FAA General Performance Appraisal System requires that the employee's work performance be measured against job related performance standards. The official position description must be used as a basis for **identifying** these standards.

How does it relate to other components of the system?

The position description is used to identify critical and other job elements, which in turn are used to develop performance standards.

How to review the position description

Step	Procedure
1.	Read the employee's official position description.
2.	<p>Determine if the position description is complete and accurate. The duties and responsibilities listed should:</p> <ul style="list-style-type: none"> -be necessary to achieve the purpose and intent of the position -be <u>correct</u> and -be consistent with the <u>actual</u> work tasks performed by this employee on the job. <p>If the position description is accurate, skip to page 21.</p>

(continued on next page)

Analyzing the Employee's Position

IDENTIFYING JOB ELEMENTS

ANALYZING THE POSITION DESCRIPTION

Introduction	In some cases, the Position Description will be in sufficient detail so that the job elements can be readily identified. Where this is so, you may skip this step and go to page 32 .
What this step is	<u>Analyzing the Position Description</u> is an opportunity to re-examine the position description and verify the importance of any job elements listed within it.
What this step does	It allows the supervisor to take a P.D. that is written in very broad or general terms and generate a list of job elements.
Mandatory critical job elements for supervisors	<p>The following critical job elements are required for all covered supervisors to the extent their positions involve such responsibilities:</p> <ul style="list-style-type: none"> o Individual/Supervisory Responsibilities o Affirmative Action and Equal Employment Opportunity Accomplishments o Organizational Accomplishments. <p>In addition, Executive Order 12196 and Department of Labor regulations (29 CFR 1960) require that the evaluation of performance for each supervisor take into consideration the performance of his or her occupational safety and health responsibilities.</p>
Definition	<u>Covered Supervisor</u> is an individual who is classified at no higher than GS-12 and properly classified under the Supervisory Grade Evaluation Guide (SGEG) as "supervisory"; or is classified under the Job Grading Standard for Supervisors (for Federal Wage System employees) as "supervisory."
Example	Exhibit 1 on pages 24-25 is a sample Position Descriptio for an FAA Electronics Technician, GS-856-11 . Exhibit 2 on page 26 is a list of work tasks, activities and dutie extracted from the P.D. in Exhibit 1 .

Analyzing the Employee's Position

IDENTIFYING JOB ELEMENTS

ANALYZING THE POSITION DESCRIPTION

Introduction	In some cases, the Position Description will be in sufficient detail so that the job elements can be readily identified. Where this is so, you may skip this step and go to page 32 .
What this step is	<u>Analyzing the Position Description</u> is an opportunity to re-examine the position description and verify the importance of any job elements listed within it.
What this step does	It allows the supervisor to take a P.D. that is written in very broad or general terms and generate a list of job elements.
Mandatory critical job elements for supervisors	<p>The following critical job elements are required for all covered supervisors to the extent their positions involve such responsibilities:</p> <ul style="list-style-type: none"> o Individual/Supervisory Responsibilities o Affirmative Action and Equal Employment Opportunity Accomplishments o Organizational Accomplishments. <p>In addition, Executive Order 12196 and Department of Labor regulations (29 CFR 1960) require that the evaluation of performance for each supervisor take into consideration the performance of his or her occupational safety and health responsibilities.</p>
Definition	<u>Covered Supervisor</u> is an individual who is classified at no higher than GS-12 and properly classified under the Supervisory Grade Evaluation Guide (SGEG) as "supervisory"; or is classified under the Job Grading Standard for Supervisors (for Federal Wage System employees) as "supervisory."
Example	Exhibit 1 on pages 24-25 is a sample Position Descriptio for an FAA Electronics Technician, GS-856-11 . Exhibit 2 on page 26 is a list of work tasks, activities and dutie extracted from the P.D. in Exhibit 1 .

EXHIBIT 1.
SAMPLE POSITION DESCRIPTION

Aeronautical Systems Division
Field Maintenance Branch

Department of Transportation
Federal Aviation Administration
Electronics Technician
GS-11, Series 856

I. Position Summary. The Aeronautical Systems Division executes a maintenance program and maintains all facilities in the sector, including environmental support equipment, so as to assure performance that satisfies tolerances of accuracy and meets operational requirements in terms of availability and reliability.

The purpose of this position is:

1. To analyze, evaluate, and certify systems/subsystems/equipment performance.
2. To recognize, identify, and correct equipment malfunctions.
3. To perform **routine** maintenance duties **on** full electronic systems in operational settings.

II. Principal Duties and Responsibilities

1. The incumbent is assigned as a Electronics Technician.
2. The technical work assignments relate to systems/subsystems/equipment as assigned. (The incumbent of this position may be subject to the successful completion of training on the functioning of field systems of a higher order, or on changes or modifications to higher-order systems, cited as work assignments at this grade. This continued training is accomplished through assignment to one or more of the agency's training programs, which may **include** resident and/or nonresident prerequisite courses.)
3. Other technical duties and responsibilities may be assigned if assigned systems/sub-systems/equipment does not constitute a full person-year workload. Certifications may be required for these other technical duties and responsibilities assigned by the Sector Manager.
4. The following are typical examples of duty assignments related to the performance of assigned systems/subsystems/equipment.
 - a. Certifies normal operation of system and/or subsystems of higher order assigned.

EXHIBIT 1.
SAMPLE POSITION DESCRIPTION

Aeronautical Systems Division
Field Maintenance Branch

Department of Transportation
Federal Aviation Administration
Electronics Technician
GS-11, Series 856

I. Position Summary. The Aeronautical Systems Division executes a maintenance program and maintains all facilities in the sector, including environmental support equipment, so as to assure performance that satisfies tolerances of accuracy and meets operational requirements in terms of availability and reliability.

The purpose of this position is:

1. To analyze, evaluate, and certify systems/subsystems/equipment performance.
2. To recognize, identify, and correct equipment malfunctions.
3. To perform **routine** maintenance duties **on** full electronic systems in operational settings.

II. Principal Duties and Responsibilities

1. The incumbent is assigned as a Electronics Technician.
2. The technical work assignments relate to systems/subsystems/equipment as assigned. (The incumbent of this position may be subject to the successful completion of training on the functioning of field systems of a higher order, or on changes or modifications to higher-order systems, cited as work assignments at this grade. This continued training is accomplished through assignment to one or more of the agency's training programs, which may **include** resident and/or nonresident prerequisite courses.)
3. Other technical duties and responsibilities may be assigned if assigned systems/sub-systems/equipment does not constitute a full person-year workload. Certifications may be required for these other technical duties and responsibilities assigned by the Sector Manager.
4. The following are typical examples of duty assignments related to the performance of assigned systems/subsystems/equipment.
 - a. Certifies normal operation of system and/or subsystems of higher order assigned.

EXHIBIT 2.
SAMPLE LIST OF WORK TASKS FOR AN FAA ELECTRONICS TECHNICIAN

Extracted from
Exhibit 1
PD Section:

Performance Analysis and Evaluation of Assigned Systems and Subsystems	I-1
Analysis and Evaluation of System Failures	I-2
Adjustment and Alignment of Circuitry	I-3
Initiation of Action to Correct System Failures	II-4
Periodic Certification of Equipment Performance	II-4
Restoration of System Performance to Standard Specifications	II-4
Recertification That Repaired Equipment Meets Advertised Standards of Performance	II-4
Maintains Individual Technical Certifications Regarding State-of-the-Art Advances in Systems'/Subsystems' Equipment Design, Maintenance, and Modifications	II-4
Accomplishes Approved Equipment Modifications	II-4
Provides On-the-Job Training of Lower-Level Technicians	II-4
Maintains Logs and Various 'Records of Systems Inspections, Evaluations, Maintenance, Modifications, and Certifications	II-
Makes Decisions as to Whether Assigned Systems/Subsystems Are Safe for Use by the Flying Public	II-

EXHIBIT 2.
SAMPLE LIST OF WORK TASKS FOR AN FAA ELECTRONICS TECHNICIAN

Extracted from
Exhibit 1
PD Section:

Performance Analysis and Evaluation of Assigned Systems and Subsystems	I-1
Analysis and Evaluation of System Failures	I-2
Adjustment and Alignment of Circuitry	I-3
Initiation of Action to Correct System Failures	II-4
Periodic Certification of Equipment Performance	II-4
Restoration of System Performance to Standard Specifications	II-4
Recertification That Repaired Equipment Meets Advertised Standards of Performance	II-4
Maintains Individual Technical Certifications Regarding State-of-the-Art Advances in Systems'/Subsystems' Equipment Design, Maintenance, and Modifications	II-4
Accomplishes Approved Equipment Modifications	II-4
Provides On-the-Job Training of Lower-Level Technicians	II-4
Maintains Logs and Various 'Records of Systems Inspections, Evaluations, Maintenance, Modifications, and Certifications	II-4
Makes Decisions as to Whether Assigned Systems/Subsystems Are Safe for Use by the Flying Public	II-4

Analyzing the Employee's Position

IDENTIFYING JOB ELEMENTS

GROUPING COMMON WORK TASKS

Example (cont'd) These work tasks could have been grouped together and addressed by expressing the one element common to all, i.e., planning. In highly specialized positions, you may find it necessary **to** group together work activities requiring special technical or research-related skills, knowledges or abilities (for example, radar repair/installation, maintaining operational proficiency in the control of air traffic, **etc**).

Types of job element headings Your final list of job element headings can be made up of two types of elements:

- elements encompassing several common work tasks, activities or duties .
- elements reflecting a single work task, activity or duty which are not sufficiently related to any other aspect of the job to warrant a grouping

Second example Exhibits 3 and 4 show the two-stage process of first, labeling tasks and then regrouping them using the labels

In Exhibit 3 each task, activity or duty was assigned to a group using the following headings:

Group Letter	Heading Name
A	System Performance
B	System Repair/Modification
C	Individual Technical Certification
D	On-the-Job Training

Exhibit 4 shows the tasks **re-organized** under each heading

Analyzing the Employee's Position

IDENTIFYING JOB ELEMENTS

GROUPING COMMON WORK TASKS

Example (cont'd)

These work tasks could have been grouped together and addressed by expressing the one element common to all, i.e., planning. In highly specialized positions, you may find it necessary **to** group together work activities requiring special technical or research-related skills, knowledges or abilities (for example, radar repair/installation, maintaining operational proficiency in the control of air traffic, **etc**).

Types of
job element
headings

Your final list of job element headings can be made up of two types of elements:

- elements encompassing several common work tasks, activities or duties .
- elements reflecting a single work task, activity or duty which are not sufficiently related to any other aspect of the job to warrant a grouping

Second
example

Exhibits 3 and 4 show the two-stage process of first, labeling tasks and then regrouping them using the labels

In Exhibit 3 each task, activity or duty was assigned to a group using the following headings:

Group Letter	Heading Name
A	System Performance
B	System Repair/Modification
C	Individual Technical Certification
D	On-the-Job Training

Exhibit 4 shows the tasks **re-organized** under each heading

Analyzing the Employee's Position

IDENTIFYING JOB ELEMENTS

GROUPING COMMON WORK TASKS

Example (cont'd)

These work tasks could have been grouped together and addressed by expressing the one element common to all, i.e., planning. In highly specialized positions, you may find it necessary **to** group together work activities requiring special technical or research-related skills, knowledges or abilities (for example, radar repair/installation, maintaining operational proficiency in the control of air traffic, **etc**).

Types of
job element
headings

Your final list of job element headings can be made up of two types of elements:

- elements encompassing several common work tasks, activities or duties .
- elements reflecting a single work task, activity or duty which are not sufficiently related to any other aspect of the job to warrant a grouping

Second
example

Exhibits 3 and 4 show the two-stage process of first, labeling tasks and then regrouping them using the labels

In Exhibit 3 each task, activity or duty was assigned to a group using the following headings:

Group Letter	Heading Name
A	System Performance
B	System Repair/Modification
C	Individual Technical Certification
D	On-the-Job Training

Exhibit 4 shows the tasks **re-organized** under each heading

Analyzing the Employee's Position

IDENTIFYING JOB ELEMENTS

GROUPING COMMON WORK TASKS

How to
do it

Step	Procedure
1.	List work tasks
2.	Read the list of work tasks and assign a unique letter of the alphabet to each task. This letter stands for a similar work activity or requirement of similar skills, knowledge or ability.
3.	Recopy all tasks with the same letter in separate lists labeled Group A, Group B, etc.
4.	Read the tasks listed in each group and decide what word or phrase describes what these tasks have in common.
5.	Write that key word or phrase as the group heading.

How to
evaluate
your list
of job
elements

- cl The heading describes the important features of significant work tasks, activities and duties within the group.
- ☐ The heading is concise.
- ☐ All headings fairly and accurately reflect what you consider to be important.

Analyzing the Employee's Position

IDENTIFYING JOB ELEMENTS

GROUPING COMMON WORK TASKS

How to
do it

Step	Procedure
1.	List work tasks
2.	Read the list of work tasks and assign a unique letter of the alphabet to each task. This letter stands for a similar work activity or requirement of similar skills, knowledge or ability.
3.	Recopy all tasks with the same letter in separate lists labeled Group A, Group B, etc.
4.	Read the tasks listed in each group and decide what word or phrase describes what these tasks have in common.
5.	Write that key word or phrase as the group heading.

How to
evaluate
your list
of job
elements

- cl The heading describes the important features of significant work tasks, activities and duties within the group.
- ☐ The heading is concise.
- ☐ All headings fairly and accurately reflect what you consider to be important.

Analyzing the Employee's Position

IDENTIFYING JOB ELEMENTS

DESIGNATING CRITICAL AND OTHER JOB ELEMENTS

Requirements

- The immediate supervisor **MUST** establish **CJEs** and, **MAY** establish **OJEs** for each covered position within his/her organization.
- No more than 7 job elements may be established for a position.
- At least one critical job element must be established for each position.
- No more than seven critical job elements may be established for a position.
- No more than two other job elements may be established for a position.

Example

For our Electronics Technician position, the supervisor has made the following designations:

Job Element	Type
System Performance	CJE
System Repair/Modification	CJE
Individual Technical Certification	CJE
On-the-Job Training	OJE

How to do the step

Step	Procedure
1.	Compare each element listed to the definition of a Critical Job Element.
2.	Write CJE next to each element that fits the definition.
3.	Determine which, if any, of the remaining job elements you consider to be important enough to be emphasized in the appraisal; write OJE next to each one.

Analyzing the Employee's Position

IDENTIFYING JOB ELEMENTS

DESIGNATING CRITICAL AND OTHER JOB ELEMENTS

Requirements

- The immediate supervisor **MUST** establish **CJEs** and, **MAY** establish **OJEs** for each covered position within his/her organization.
- No more than 7 job elements may be established for a position.
- At least one critical job element must be established for each position.
- No more than seven critical job elements may be established for a position.
- No more than two other job elements may be established for a position.

Example

For our Electronics Technician position, the supervisor has made the following designations:

Job Element	Type
System Performance	CJE
System Repair/Modification	CJE
Individual Technical Certification	CJE
On-the-Job Training	OJE

How to do the step

Step	Procedure
1.	Compare each element listed to the definition of a Critical Job Element.
2.	Write CJE next to each element that fits the definition.
3.	Determine which, if any, of the remaining job elements you consider to be important enough to be emphasized in the appraisal; write OJE next to each one.

Analyzing the Employee's Position

IDENTIFYING JOB ELEMENTS

DESIGNATING CRITICAL AND OTHER JOB ELEMENTS

Requirements

- The immediate supervisor **MUST** establish **CJEs** and, **MAY** establish **OJEs** for each covered position within his/her organization.
- No more than 7 job elements may be established for a position.
- At least one critical job element must be established for each position.
- No more than seven critical job elements may be established for a position.
- No more than two other job elements may be established for a position.

Example

For our Electronics Technician position, the supervisor has made the following designations:

Job Element	Type
System Performance	CJE
System Repair/Modification	CJE
Individual Technical Certification	CJE
On-the-Job Training	OJE

How to do the step

Step	Procedure
1.	Compare each element listed to the definition of a Critical Job Element.
2.	Write CJE next to each element that fits the definition.
3.	Determine which, if any, of the remaining job elements you consider to be important enough to be emphasized in the appraisal; write OJE next to each one.

Analyzing the Employee's Position

CHAPTER SUMMARY

Summary

This chapter discussed the three steps of analyzing the employee's position:

- Reviewing the Employee's Position Description
- Identifying Job Elements
- Weighting Job Elements

You learned how to determine if an employee's **P.D.** is accurate and valid. You learned how to create a list of work tasks from the **P.D.** and reduce the list to a manageable number by grouping common work tasks. Finally, you learned how to designate critical and **othe** job elements and weight the importance of each. You **ar** now ready to write objective performance standards for each of the job elements.

Note

Appendix A contains a summary of all of the procedures and checklists detailed in this chapter. You will find this quick summary a helpful aid to remembering all of the steps and how to evaluate your work.

Analyzing the Employee's Position

CHAPTER SUMMARY

Summary

This chapter discussed the three steps of analyzing the employee's position:

- Reviewing the Employee's Position Description
- Identifying Job Elements
- Weighting Job Elements

You learned how to determine if an employee's **P.D.** is accurate and valid. You learned how to create a list of work tasks from the **P.D.** and reduce the list to a manageable number by grouping common work tasks. Finally, you learned how to designate critical and **othe** job elements and weight the importance of each. You **ar** now ready to write objective performance standards for each of the job elements.

Note

Appendix A contains a summary of all of the procedures and checklists detailed in this chapter. You will find this quick summary a helpful aid to remembering all of the steps and how to evaluate your work.

Writing Performance Standards

WRITING A PERFORMANCE STANDARD

Definition	A performance standard is the expressed level of achievement established by management for the duties and responsibilities of a POSITION (not a person). Standards may include, but are not limited to, such elements as quantity, quality and timeliness.
What the step does	This step clarifies for the supervisor and the employee exactly what performance is expected for each job element.
why it is important	Writing the performance standard documents the supervisor's expectations and reduces the possibility of future misunderstandings.
How it relates to other components of the system	<p>The performance standard is the basis for:</p> <ul style="list-style-type: none"> o directing and controlling the employee's activities o coaching to improve the employee's performance o evaluating the employee's performance o taking further management action
Note	<p>Management action is <u>required</u> if an employee fails to meet the standard(s) set for a Critical Job Element. This failure will result in denial of a within grade increase, and may result in the employee's removal from the position.</p> <p>Performance standards must be established in advance for those work activities identified as important to the accomplishment of details and/or special project assignments when an individual detail or assignment of 120 days or more is initiated during the appraisal period.</p>

Writing Performance Standards

WRITING A PERFORMANCE STANDARD

Definition	A performance standard is the expressed level of achievement established by management for the duties and responsibilities of a POSITION (not a person). Standards may include, but are not limited to, such elements as quantity, quality and timeliness.
What the step does	This step clarifies for the supervisor and the employee exactly what performance is expected for each job element.
why it is important	Writing the performance standard documents the supervisor's expectations and reduces the possibility of future misunderstandings.
How it relates to other components of the system	<p>The performance standard is the basis for:</p> <ul style="list-style-type: none"> o directing and controlling the employee's activities o coaching to improve the employee's performance o evaluating the employee's performance o taking further management action
Note	<p>Management action is <u>required</u> if an employee fails to meet the standard(s) set for a Critical Job Element. This failure will result in denial of a within grade increase, and may result in the employee's removal from the position.</p> <p>Performance standards must be established in advance for those work activities identified as important to the accomplishment of details and/or special project assignments when an individual detail or assignment of 120 days or more is initiated during the appraisal period.</p>

Writing Performance Standards

WRITING A PERFORMANCE STANDARD

1.5E Criteria for judging a performance standard

Criteria	Description
Measurable	<p>The standard contains one or more of the following types of measures.</p> <ul style="list-style-type: none"> - quantity - how much, how many - quality - how accurate, how well - timeliness - within what time frame, by what date - impact - how job will affect organization's mission - manner of performance - how well something is to be done
Clear	The standard is written in terms that are clear, uncomplicated and concise.
Realistic	The standard is consistent with the content and scope of the position description. It is reasonably set (neither too high or too low.)
Attainable	The standard can be attained by the employee given the authority and resources over which he/she has control (e.g., personnel, budget, time).
Current	The standard reflects the existing and/or continuing priorities of the organization and/or rating official. If the priorities change, then the performance standard must also be changed and the change communicated.
Useful	The standard will generate work results that are positive, significant contributions to the functions, policies and procedures of the work group and the organization.
Equitable	<p>The standard is equivalent to those written for work in similar positions that have similar</p> <ul style="list-style-type: none"> ● duties ● responsibilities ● skill requirements ● work environments ● performance expectations

Writing Performance Standards

WRITING A PERFORMANCE STANDARD

1.1.E Criteria for judging a performance standard

Criteria	Description
Measurable	<p>The standard contains one or more of the following types of measures.</p> <ul style="list-style-type: none"> - quantity - how much, how many - quality - how accurate, how well - timeliness - within what time frame, by what date - impact - how job will affect organization's mission - manner of performance - how well something is to be done
Clear	The standard is written in terms that are clear, uncomplicated and concise.
Realistic	The standard is consistent with the content and scope of the position description. It is reasonably set (neither too high or too low.)
Attainable	The standard can be attained by the employee given the authority and resources over which he/she has control (e.g., personnel, budget, time).
Current	The standard reflects the existing and/or continuing priorities of the organization and/or rating official. If the priorities change, then the performance standard must also be changed and the change communicated.
Useful	The standard will generate work results that are positive, significant contributions to the functions, policies and procedures of the work group and the organization.
Equitable	<p>The standard is equivalent to those written for work in similar positions that have similar</p> <ul style="list-style-type: none"> ● duties ● responsibilities ● skill requirements ● work environments ● performance expectations

Writing Performance Standards

WRITING A PERFORMANCE STANDARD

1.1.E Criteria for judging a performance standard

Criteria	Description
Measurable	<p>The standard contains one or more of the following types of measures.</p> <ul style="list-style-type: none"> - quantity - how much, how many - quality - how accurate, how well - timeliness - within what time frame, by what date - impact - how job will affect organization's mission - manner of performance - how well something is to be done
Clear	The standard is written in terms that are clear, uncomplicated and concise.
Realistic	The standard is consistent with the content and scope of the position description. It is reasonably set (neither too high or too low.)
Attainable	The standard can be attained by the employee given the authority and resources over which he/she has control (e.g., personnel, budget, time).
Current	The standard reflects the existing and/or continuing priorities of the organization and/or rating official. If the priorities change, then the performance standard must also be changed and the change communicated.
Useful	The standard will generate work results that are positive, significant contributions to the functions, policies and procedures of the work group and the organization.
Equitable	<p>The standard is equivalent to those written for work in similar positions that have similar</p> <ul style="list-style-type: none"> ● duties ● responsibilities ● skill requirements ● work environments ● performance expectations

EXHIBIT 6

SAMPLE JOB ELEMENTS AND PERFORMANCE STANDARD FOR FAA SUPERVISOR

INDIVIDUAL/SUPERVISORY RESPONSIBILITY - 45% (CJE)

<u>Selected Work Tasks for Developing Subordinates</u>	<u>Performance Standards</u>
<ol style="list-style-type: none"> 1. Training-Provides training and development so that employees may meet performance re-requirement/expectations and/or progress on the job. 2. Evaluating-Performs employee performance appraisals. 3. Coaching and Counseling-Advises employees regarding their performance strengths and weaknesses in the context of work unit objectives. 	<ol style="list-style-type: none"> 1. Identifies training needs and plans developmental activities for all employees. This will be indicated by the preparation of a written individual development plan for each employee by a date 60 days into the appraisal period. 2. Provides all employees with a constructive annual performance appraisal and at least one formal progress review during the appraisal period. Each appraisal will be "constructive" if it: <ul style="list-style-type: none"> • reviews strengths and weaknesses • identifies weaknesses in terms of performance deficiencies • explores reasons for the weakness • creates a mutually agreed upon plan to eliminate the weakness 3. Recognizes noteworthy performance through appropriate awards and/or other methods of recognition as indicated by supervisor's judgment.

EXHIBIT 6

SAMPLE JOB ELEMENTS AND PERFORMANCE STANDARD FOR FAA SUPERVISOR

INDIVIDUAL/SUPERVISORY RESPONSIBILITY - 45% (CJE)

<u>Selected Work Tasks for Developing Subordinates</u>	<u>Performance Standards</u>
<ol style="list-style-type: none"> 1. Training-Provides training and development so that employees may meet performance re-requirement/expectations and/or progress on the job. 2. Evaluating-Performs employee performance appraisals. 3. Coaching and Counseling-Advises employees regarding their performance strengths and weaknesses in the context of work unit objectives. 	<ol style="list-style-type: none"> 1. Identifies training needs and plans developmental activities for all employees. This will be indicated by the preparation of a written individual development plan for each employee by a date 60 days into the appraisal period. 2. Provides all employees with a constructive annual performance appraisal and at least one formal progress review during the appraisal period. Each appraisal will be "constructive" if it: <ul style="list-style-type: none"> • reviews strengths and weaknesses • identifies weaknesses in terms of performance deficiencies • explores reasons for the weakness • creates a mutually agreed upon plan to eliminate the weakness 3. Recognizes noteworthy performance through appropriate awards and/or other methods of recognition as indicated by supervisor's judgment.

Writing Performance Standards

COMMUNICATING PERFORMANCE STANDARDS

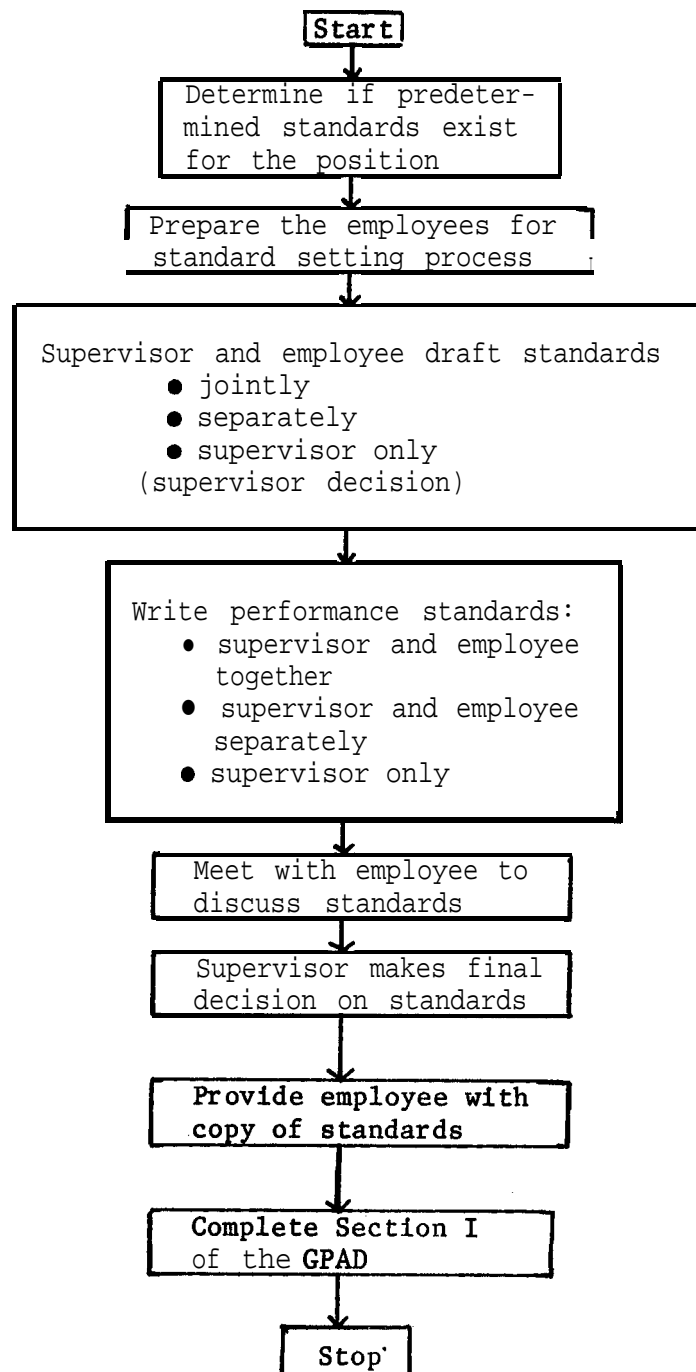
Note The supervisor has final responsibility for:

- determining an employee's performance standards
- communicating the standards, in writing, to the employee at the beginning of the appraisal year.

(No specific form is required)

If a change in supervision occurs, then it is recommended that the process of **communicating** performance standards be repeated. If an employee changes position or work activities, new standards must be established and communicated to the **employee**.

Overview
of the
steps in
communicating
performance



Writing Performance Standards

COMMUNICATING PERFORMANCE STANDARDS

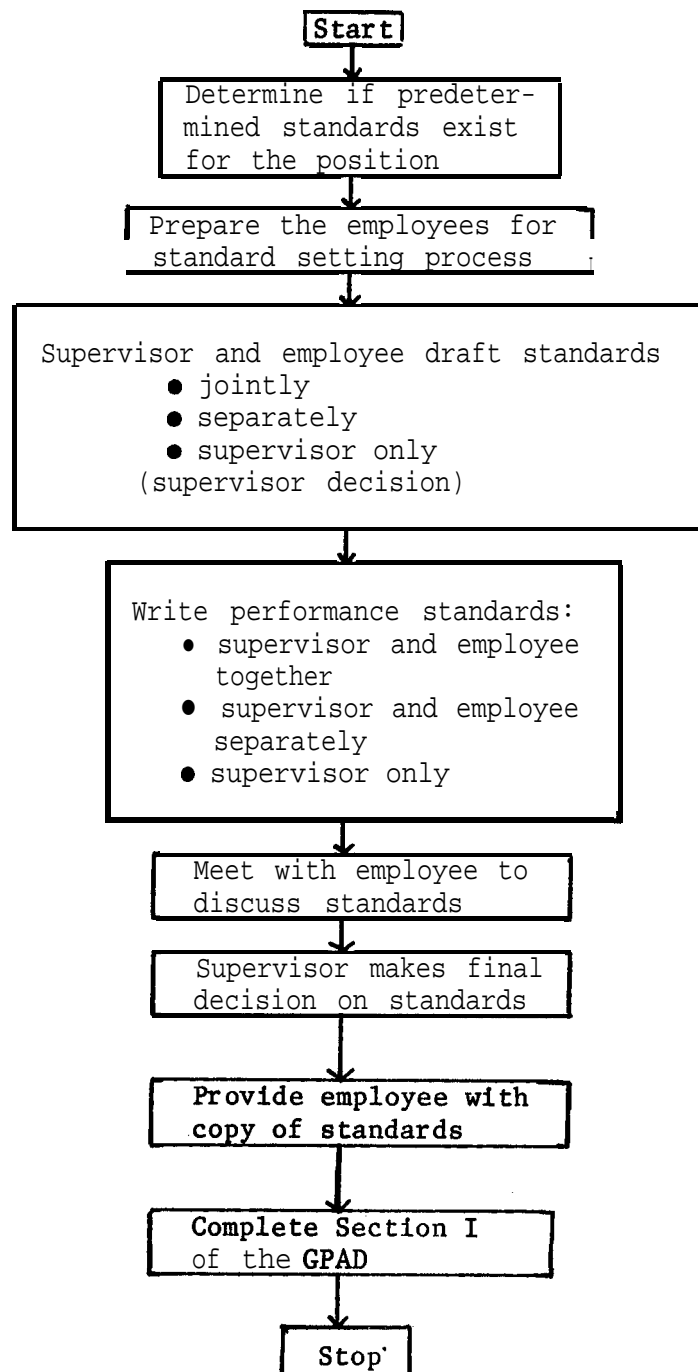
Note The supervisor has final responsibility for:

- determining an employee's performance standards
- communicating the standards, in writing, to the employee at the beginning of the appraisal year.

(No specific form is required)

If a change in supervision occurs, then it is recommended that the process of **communicating** performance standards be repeated. If an employee changes position or work activities, new standards must be established and communicated to the **employee**.

Overview
of the
steps in
communicating
performance



Writing Performance Standards

COMMUNICATING PERFORMANCE STANDARDS

How to
communicate
performance
standards

Step	Procedure
6.	Complete Section I of the General Performance Appraisal Document. The instructions are on the document.

Note

- . It is recommended that you use plain paper to record the standards rather than the **GPAD** form. Throughout the appraisal period this will let you make any necessary revisions without having to waste forms. When you make your final ratings you will not have to recopy the standards, you will be able to **staple** the plain paper to the **GPAD** form.

Evaluation
checklist

- ☐ Jobs screened for **pre-determined** objectives
- ☐ **Employee** prepared for standard setting process
- ☐ **Employee** prepared to write own standards (optional)
- ☐ Standards written for each job element
- ☐ Standards discussed with employee
- ☐ **Approved** standards written, signed, dated and copied
- ☐ **Copy** of approved standards given to employee
- ☐ **Section I** of **GPAD** form completed

Writing Performance Standards

COMMUNICATING PERFORMANCE STANDARDS

How to
communicate
performance
standards

Step	Procedure
6.	Complete Section I of the General Performance Appraisal Document. The instructions are on the document.

Note

- . It is recommended that you use plain paper to record the standards rather than the **GPAD** form. Throughout the appraisal period this will let you make any necessary revisions without having to waste forms. When you make your final ratings you will not have to recopy the standards, you will be able to **staple** the plain paper to the **GPAD** form.

Evaluation
checklist

- ☐ Jobs screened for **pre-determined** objectives
- ☐ **Employee** prepared for standard setting process
- ☐ **Employee** prepared to write own standards (optional)
- ☐ Standards written for each job element
- ☐ Standards discussed with employee
- ☐ **Approved** standards written, signed, dated and copied
- ☐ **Copy** of approved standards given to employee
- ☐ **Section I** of **GPAD** form completed

Writing Performance Standards

COMMUNICATING PERFORMANCE STANDARDS

How to
communicate
performance
standards

Step	Procedure
6.	Complete Section I of the General Performance Appraisal Document. The instructions are on the document.

Note

- . It is recommended that you use plain paper to record the standards rather than the **GPAD** form. Throughout the appraisal period this will let you make any necessary revisions without having to waste forms. When you make your final ratings you will not have to recopy the standards, you will be able to **staple** the plain paper to the **GPAD** form.

Evaluation
checklist

- ☐ **J**obs screened for **pre-determined** objectives
- ☐ **E**mployee prepared for standard setting process
- ☐ **E**mployee prepared to write own standards (optional)
- ☐ Standards written for each job element
- ☐ Standards discussed with employee
- ☐ **A**pproved standards written, signed, dated and copied
- ☐ **C**opy of approved standards given to employee
- ☐ **S**ection I of **GPAD** form completed

CHAPTER 5

Conducting Performance Reviews

CONTENTS

	<u>Page</u>
Chapter Overview.	55
Flowchart of Major Steps.	56
Assessing Performance	58
How To	58
Evaluation Checklist	59
Example,	61
Taking Planned Corrective Actions	66
How To	66
Evaluation Checklist	68
Revising Performance Standards.	69
How To	69
Meeting With The Employee To Review Progress.	70
How To	71
Evaluation Checklist	72
Chapter Summary	73

CHAPTER 5

Conducting Performance Reviews

CONTENTS

	<u>Page</u>
Chapter Overview.	55
Flowchart of Major Steps.	56
Assessing Performance	58
How To	58
Evaluation Checklist	59
Example,	61
Taking Planned Corrective Actions	66
How To	66
Evaluation Checklist	68
Revising Performance Standards.	69
How To	69
Meeting With The Employee To Review Progress.	70
How To	71
Evaluation Checklist	72
Chapter Summary	73

CHAPTER 5

Conducting Performance Reviews

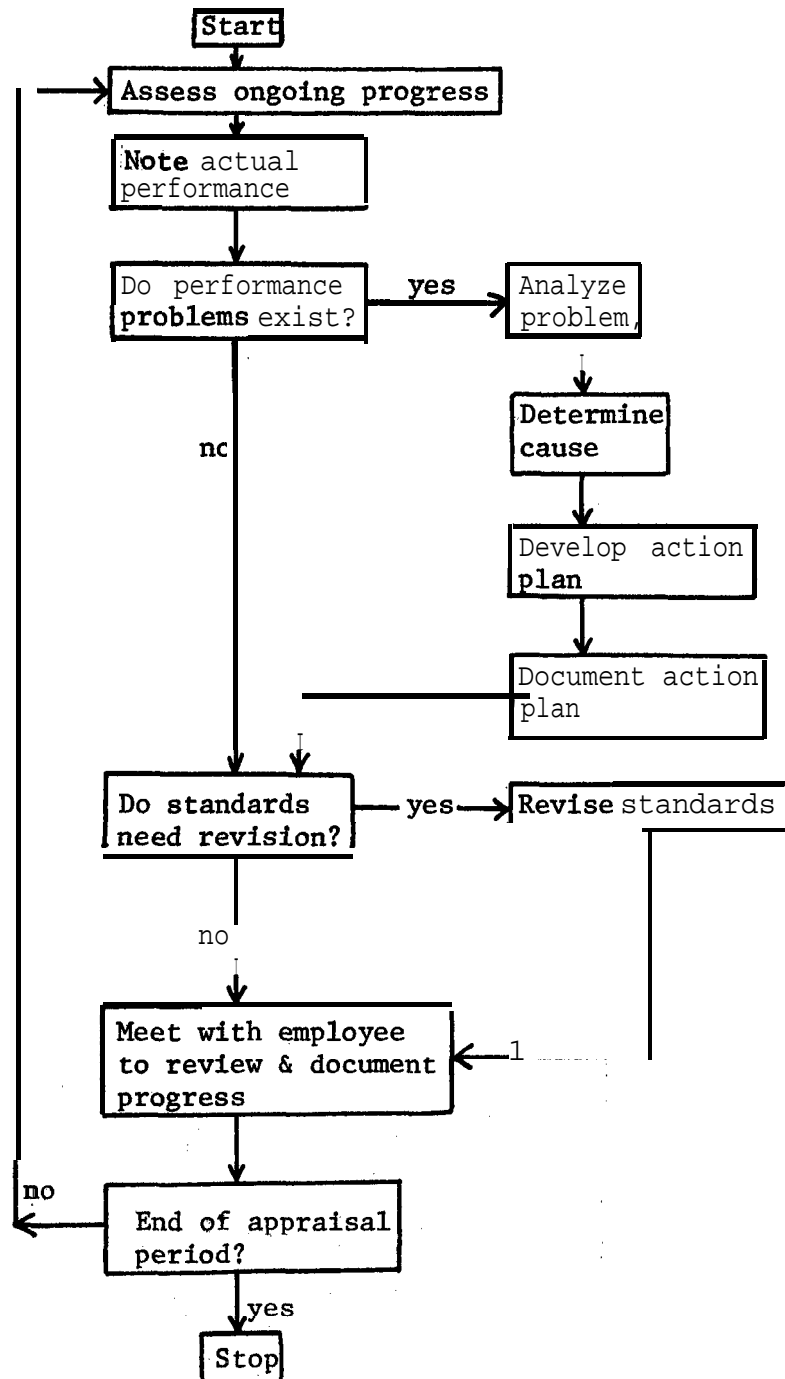
CONTENTS

	<u>Page</u>
Chapter Overview.	55
Flowchart of Major Steps.	56
Assessing Performance	58
How To	58
Evaluation Checklist	59
Example,	61
Taking Planned Corrective Actions	66
How To	66
Evaluation Checklist	68
Revising Performance Standards.	69
How To	69
Meeting With The Employee To Review Progress.	70
How To	71
Evaluation Checklist	72
Chapter Summary	73

Conducting Performance Reviews

CHAPTER OVERVIEW

Overview of
the steps in
conducting
performance
reviews



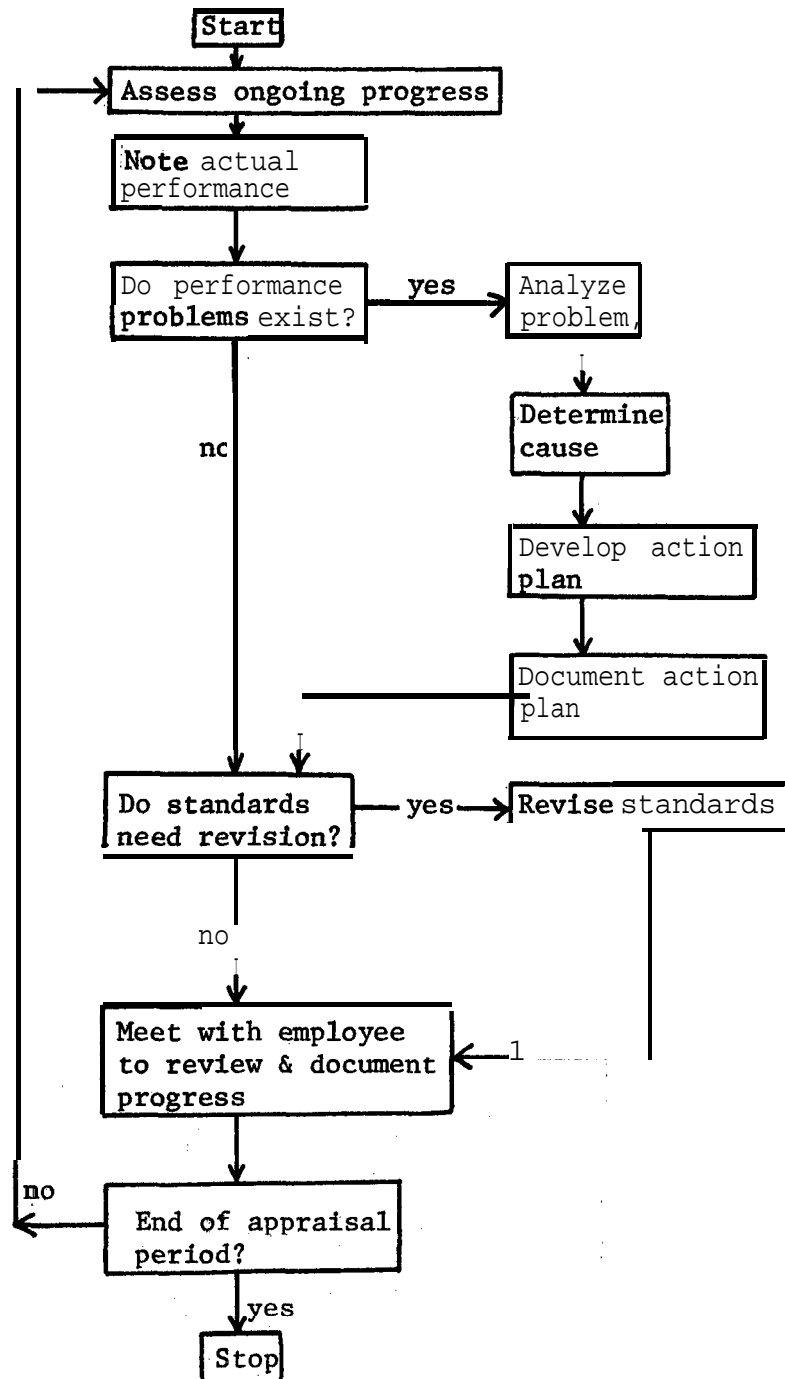
Note on
chapter
organization

This flowchart shows one way to prepare for a progress review meeting.. For ease of presentation, this chapter is organized to follow the logic of the flowchart. However, in practice, a supervisor could have several meetings, one to give feedback on actual performance, one to develop plans for improving weak performance, one to revise performance standards and one to conduct a formal progress review.

Conducting Performance Reviews

CHAPTER OVERVIEW

Overview of
the steps in
conducting
performance
reviews



Note on
chapter
organization

This flowchart shows one way to prepare for a progress review meeting.. For ease of presentation, this chapter is organized to follow the logic of the flowchart. However, in practice, a supervisor could have several meetings, one to give feedback on actual performance, one to develop plans for improving weak performance, one to revise performance standards and one to conduct a formal progress review.

Conducting Performance Reviews

ASSESSING PERFORMANCE

What this step is	<u>Assessing the employee's performance</u> is the first step in conducting a progress review. It involves comparing demonstrated performance against the performance standard and documenting the actual performance.
What this step does	This step provides the supervisor with information that tell whether or not the employee is achieving the performance standard.
Why it is important	This information will be used to determine whether a performance problem exists, and as the basis for feedback to the employee about his/her performance.
How it relates to other components of the system	This information will serve as a memory-jogger to make the end-of-the-year performance rating more reliable and valid.

How to assess performance

Step	Procedure
1. Optional	Consider making a few personal notes regarding th employee's progress towards his/her standards immediately after assigning accountability for the standard. <ul style="list-style-type: none"> - the notes should reflect demonstrated progress - some of the information can be collected by the employee on some form of tally sheet which should be checked periodicall by the supervisor - data collected by the supervisor should be based on <u>observed</u> performance
2.	Wait until the employee has had sufficient time to demonstrate performance in one or more of the job elements. Then, compare the employee's actua performance to the standard.

(continued on next page)

Conducting Performance Reviews

ASSESSING PERFORMANCE

What this step is	<u>Assessing the employee's performance</u> is the first step in conducting a progress review. It involves comparing demonstrated performance against the performance standard and documenting the actual performance.
What this step does	This step provides the supervisor with information that tell whether or not the employee is achieving the performance standard.
Why it is important	This information will be used to determine whether a performance problem exists, and as the basis for feedback to the employee about his/her performance.
How it relates to other components of the system	This information will serve as a memory-jogger to make the end-of-the-year performance rating more reliable and valid.

How to assess performance

Step	Procedure
1. Optional	Consider making a few personal notes regarding th employee's progress towards his/her standards immediately after assigning accountability for the standard. <ul style="list-style-type: none"> - the notes should reflect demonstrated progress - some of the information can be collected by the employee on some form of tally sheet which should be checked periodicall by the supervisor - data collected by the supervisor should be based on <u>observed</u> performance
2.	Wait until the employee has had sufficient time to demonstrate performance in one or more of the job elements. Then, compare the employee's actua performance to the standard.

(continued on next page)

Conducting Performance Reviews

ASSESSING PERFORMANCE

What this step is	<u>Assessing the employee's performance</u> is the first step in conducting a progress review. It involves comparing demonstrated performance against the performance standard and documenting the actual performance.
What this step does	This step provides the supervisor with information that tell whether or not the employee is achieving the performance standard.
Why it is important	This information will be used to determine whether a performance problem exists, and as the basis for feedback to the employee about his/her performance.
How it relates to other components of the system	This information will serve as a memory-jogger to make the end-of-the-year performance rating more reliable and valid.

How to assess performance

Step	Procedure
1. Optional	Consider making a few personal notes regarding th employee's progress towards his/her standards immediately after assigning accountability for the standard. <ul style="list-style-type: none"> - the notes should reflect demonstrated progress - some of the information can be collected by the employee on some form of tally sheet which should be checked periodicall by the supervisor - data collected by the supervisor should be based on <u>observed</u> performance
2.	Wait until the employee has had sufficient time to demonstrate performance in one or more of the job elements. Then, compare the employee's actua performance to the standard.

(continued on next page)

PERIODIC PROGRESS REVIEW

Employee's Name: <u>James P. Fixet</u>	Supervisor's Name: <u>Sidney G. Sector</u>	DATE OF INTERVIEW: <u>11/3/81</u>
Position Title: <u>Electronics Technician</u>	Organization: <u>Aeronautical Systems Division</u>	DATE COPY PROVIDED EMPLOYEE: 11/9/81
Performance Appraisal Period: FROM: <u>7/1/81</u> : <u>6/30/82</u>	Period Supervised Employee: FROM: <u>8/1/75</u> TO: <u>present</u>	PROGRESS REVIEW PERIOD FROM: <u>7/1/81</u> TO: <u>11/2/81</u>

SUPERVISORY ASSESSMENT/COMMENTS

1. ☒ CJE ☐ OJE System Performance

- Logs indicate that Preventive Maintenance (P.M.) checks have been made on 65% of assigned systems/subsystems. P.M. just below national average.
- Sector certification review shows that Jim's systems/subsystems are all appropriately certified.
- Comments from other Sector Managers indicate that Jim is extremely conscientious about communicating all problems immediately to the appropriate individuals.
- Good, independent judgment; especially when the microwave RF transmitter went down in August.
- Records appear complete and accurate.

PLANS FOR IMPROVEMENT

- Jim will devote more time to Preventive Maintenance by rearranging his schedule and by my assigning a second trainee to his team. P.M. is expected to be at or above national average by the next review in March, 1982.

Exhibit 7

61

PERIODIC PROGRESS REVIEW

Employee's Name: <u>James P. Fixet</u>		Supervisor's Name: <u>Sidney G. Sector</u>		DATE OF INTERVIEW: <u>11/3/81</u>
Position Title: <u>Electronics Technician</u>		Organization: <u>Aeronautical Systems Division</u>		DATE COPY PROVIDED EMPLOYEE: 11/9/81
Performance Appraisal Period: FROM: <u>7/1/81</u> : <u>6/30/82</u>		Period Supervised Employee: FROM: <u>8/1/75</u> TO: <u>present</u>		PROGRESS REVIEW PERIOD FROM: <u>7/1/81</u> TO: <u>11/2/81</u>

SUPERVISORY ASSESSMENT/COMMENTS

1. ☒ CJE ☐ OJE System Performance

- Logs indicate that Preventive Maintenance (P.M.) checks have been made on 65% of assigned systems/subsystems. P.M. just below national average.
- Sector certification review shows that Jim's systems/subsystems are all appropriately certified.
- Comments from other Sector Managers indicate that Jim is extremely conscientious about communicating all problems immediately to the appropriate individuals.
- Good, independent judgment; especially when the microwave RF transmitter went down in August.
- Records appear complete and accurate.

PLANS FOR IMPROVEMENT

- Jim will devote more time to Preventive Maintenance by rearranging his schedule and by my assigning a second trainee to his team. P.M. is expected to be at or above national average by the next review in March, 1982.

Exhibit 7

61

SUPERVISORY ASSESSMENT/COMMENTS	
<input checked="" type="checkbox"/> CJE <input type="checkbox"/> OJE <u>Individual Technical Certification</u>	
<ul style="list-style-type: none"> • Jim is fully certified in all assigned systems/subsystems. • Has excellent knowledge of procedures and equipment within assignment areas. • Successfully completed 2-week TRACON update training program. • Requested that Jim attend RVR training programs so as to assume additional sector responsibilities 9/2/81. • Excellent emergency actions taken when transmitter went down. 	
PLANS FOR IMPROVEMENT	
<ul style="list-style-type: none"> • Attend the RVR training course, December 3-15, in Houston. 	
SUPERVISORY ASSESSMENT/COMMENTS	
<input type="checkbox"/> CJE <input checked="" type="checkbox"/> OJE <u>On-the-job training</u>	
<ul style="list-style-type: none"> • Jim has trained Bill Young to be a top-notch technician. • Jim has given me excellent information on training courses and who would benefit from them, especially in Bill's case. 	
PLANS FOR IMPROVEMENT	

63

SUPERVISORY ASSESSMENT/COMMENTS	
<input checked="" type="checkbox"/> CJE <input type="checkbox"/> OJE <u>Individual Technical Certification</u>	<ul style="list-style-type: none"> • Jim is fully certified in all assigned systems/subsystems. • Has excellent knowledge of procedures and equipment within assignment areas. • Successfully completed 2-week TRACON update training program. • Requested that Jim attend RVR training programs so as to assume additional sector responsibilities 9/2/81. • Excellent emergency actions taken when transmitter went down.
PLANS FOR IMPROVEMENT	
<ul style="list-style-type: none"> • Attend the RVR training course, December 3-15, in Houston. 	
SUPERVISORY ASSESSMENT/COMMENTS	
<input type="checkbox"/> CJE <input checked="" type="checkbox"/> OJE <u>On-the-job training</u>	<ul style="list-style-type: none"> • Jim has trained Bill Young to be a top-notch technician. • Jim has given me excellent information on training courses and who would benefit from them, especially in Bill's case.
PLANS FOR IMPROVEMENT	

63

SUPERVISORY ASSESSMENT/COMMENTS	
<input checked="" type="checkbox"/> CJE <input type="checkbox"/> OJE <u>Individual Technical Certification</u>	<ul style="list-style-type: none"> • Jim is fully certified in all assigned systems/subsystems. • Has excellent knowledge of procedures and equipment within assignment areas. • Successfully completed 2-week TRACON update training program. • Requested that Jim attend RVR training programs so as to assume additional sector responsibilities 9/2/81. • Excellent emergency actions taken when transmitter went down.
PLANS FOR IMPROVEMENT	
<ul style="list-style-type: none"> • Attend the RVR training course, December 3-15, in Houston. 	
SUPERVISORY ASSESSMENT/COMMENTS	
<input type="checkbox"/> CJE <input checked="" type="checkbox"/> OJE <u>On-the-job training</u>	<ul style="list-style-type: none"> • Jim has trained Bill Young to be a top-notch technician. • Jim has given me excellent information on training courses and who would benefit from them, especially in Bill's case.
PLANS FOR IMPROVEMENT	

63

Conducting Performance Reviews

TAKING PLANNED CORRECTIVE ACTIONS

Introduction

The supervisor should take planned corrective action when the employee's actual performance does not meet the performance standard.

What the step is

Taking planned corrective action is the process of:

- identifying the performance weakness
- determining the cause of the performance weakness
- developing an action plan to improve the employee's performance

What it does

With this step the supervisor provides a motivating atmosphere and the extra help for the employees to achieve the results expected of them. The responsibility for achieving work results and meeting expected levels of performance will then rest entirely with the employees.

Note

The time frame for improving performance is critical. An employee must be given an opportunity to correct any performance weaknesses or deficiencies which may adversely impact upon his/her annual performance rating. The amount of time necessary to provide a reasonable opportunity for improving performance will depend on the circumstances in each case and will be determined by the employee's immediate supervisor.

How to take planned corrective action

Step	Procedure
1.	Identify the standards which the employee has not met.
2.	Determine the cause(s) of the low performance on each standard. <ul style="list-style-type: none"> ● Causes related to the <u>employee</u> might include: <ul style="list-style-type: none"> - skill level too low - knowledge level too low - motivation to perform too low - personal problems interfering with performance

(continued on next page)

Conducting Performance Reviews

TAKING PLANNED CORRECTIVE ACTIONS

Introduction	The supervisor should take planned corrective action when the employee's actual performance does not meet the performance standard.
What the step is	<p>Taking planned corrective action is the process of:</p> <ul style="list-style-type: none"> ● identifying the performance weakness ● determining the cause of the performance weakness ● developing an action plan to improve the employee's performance
What it does	With this step the supervisor provides a motivating atmosphere and the extra help for the employees to achieve the results expected of them. The responsibility for achieving work results and meeting expected levels of performance will then rest entirely with the employees.
Note	The <u>time frame</u> for improving performance is critical. An employee <u>must</u> be given an opportunity to correct any performance weaknesses or deficiencies which may adversely impact upon his/her annual performance rating. The amount of time necessary to provide a reasonable opportunity for improving performance will depend on the circumstances in each case and will be determined by the employee's immediate supervisor.

How to take planned corrective action	Step	Procedure
	1.	Identify the standards which the employee has not met.
	2.	<p>Determine the cause(s) of the low performance on each standard.</p> <ul style="list-style-type: none"> • Causes related to the <u>employee</u> might include: <ul style="list-style-type: none"> - skill level too low - knowledge level too low - motivation to perform too low - personal problems interfering with performance

(continued on next page)

Conducting Performance Reviews

TAKING PLANNED CORRECTIVE ACTIONS

Step	Procedure
5.	<p>Document the action plans. This means:</p> <ul style="list-style-type: none"> • write the plan(s) on plain paper or on the periodic progress review worksheet • date and sign the plan • have the employee sign the plan • give a copy to the employee • note on your copy the date the employee received the copy • retain your copy, along with the position description, for one year after completion of the General Performance Appraisal Document for that appraisal period.

Evaluation
checklist

For taking planned correction action:

Cl Standards identified where actual performance does not meet the standard.

Cl Causes of performance problem identified.

Cl Causes separated into employee-related and **environment-**related causes.

☐ Action strategies selected for each cause.

☐ Action plans developed to improve employee performance.

Conducting Performance Reviews

TAKING PLANNED CORRECTIVE ACTIONS

Step	Procedure
5.	<p>Document the action plans. This means:</p> <ul style="list-style-type: none"> • write the plan(s) on plain paper or on the periodic progress review worksheet • date and sign the plan • have the employee sign the plan • give a copy to the employee • note on your copy the date the employee received the copy • retain your copy, along with the position description, for one year after completion of the General Performance Appraisal Document for that appraisal period.

Evaluation
checklist

For taking planned correction action:

Cl Standards identified where actual performance does not meet the standard.

Cl Causes of performance problem identified.

Cl Causes separated into employee-related and **environment-**related causes.

☐ Action strategies selected for each cause.

☐ Action plans developed to improve employee performance.

Conducting Performance Reviews

MEETING WITH THE EMPLOYEE TO REVIEW PROGRESS

Introduction	<p>The supervisor could possibly have three types of feedback to give the employees:</p> <ul style="list-style-type: none"> • feedback on how the employee's actual performance compared to his/her standards • feedback on any plans they made to take corrective action to improve poor performance • feedback on the performance standards they worked jointly to revise
What the step is	<p>This step represents the face-to-face meeting the supervisor has with the employee at least once during the appraisal period for the purpose of reviewing progress.</p>
What this step does	<p>This meeting allows the supervisor and employee to share perceptions of what has occurred to date, and to clarify the expectations for future performance.</p>
Why it is important	<p>Providing periodic performance feedback is potentially the <u>most productive</u> step in the performance appraisal system.</p>
Benefits to the supervisor	<p>The supervisor can expect to receive the following benefits from a meaningful, interactive progress review:</p> <ul style="list-style-type: none"> • Employees continually know what is expected of them and how well they are performing so that there are no surprises at the end of the appraisal year, • Employees and work units remain on track toward accomplishing their mission, goals, and objectives. • Work units usually reflect higher levels of performance achievement. • Accountability is properly maintained. • Supervisors become more aware of organizational problems and performance obstacles.
Note	<p>The progress review "meeting" can take several forms.</p> <p>It can be a one-time meeting where several topics are discussed.</p> <p>Or, it can be several meetings where one or more different topics are discussed.</p> <p>The supervisors will determine the best format for the progress review meeting(s) given their situation.</p>

Conducting Performance Reviews

MEETING WITH THE EMPLOYEE TO REVIEW PROGRESS

Introduction	<p>The supervisor could possibly have three types of feedback to give the employees:</p> <ul style="list-style-type: none"> • feedback on how the employee's actual performance compared to his/her standards • feedback on any plans they made to take corrective action to improve poor performance • feedback on the performance standards they worked jointly to revise
What the step is	<p>This step represents the face-to-face meeting the supervisor has with the employee at least once during the appraisal period for the purpose of reviewing progress.</p>
What this step does	<p>This meeting allows the supervisor and employee to share perceptions of what has occurred to date, and to clarify the expectations for future performance.</p>
Why it is important	<p>Providing periodic performance feedback is potentially the <u>most productive</u> step in the performance appraisal system.</p>
Benefits to the supervisor	<p>The supervisor can expect to receive the following benefits from a meaningful, interactive progress review:</p> <ul style="list-style-type: none"> • Employees continually know what is expected of them and how well they are performing so that there are no surprises at the end of the appraisal year, • Employees and work units remain on track toward accomplishing their mission, goals, and objectives. • Work units usually reflect higher levels of performance achievement. • Accountability is properly maintained. • Supervisors become more aware of organizational problems and performance obstacles.
Note	<p>The progress review "meeting" can take several forms.</p> <p>It can be a one-time meeting where several topics are discussed.</p> <p>Or, it can be several meetings where one or more different topics are discussed.</p> <p>The supervisors will determine the best format for the progress review meeting(s) given their situation.</p>

Conducting Performance Reviews

MEETING WITH THE EMPLOYEE TO REVIEW PROGRESS

Introduction	<p>The supervisor could possibly have three types of feedback to give the employees:</p> <ul style="list-style-type: none"> • feedback on how the employee's actual performance compared to his/her standards • feedback on any plans they made to take corrective action to improve poor performance • feedback on the performance standards they worked jointly to revise
What the step is	<p>This step represents the face-to-face meeting the supervisor has with the employee at least once during the appraisal period for the purpose of reviewing progress.</p>
What this step does	<p>This meeting allows the supervisor and employee to share perceptions of what has occurred to date, and to clarify the expectations for future performance.</p>
Why it is important	<p>Providing periodic performance feedback is potentially the <u>most productive</u> step in the performance appraisal system.</p>
Benefits to the supervisor	<p>The supervisor can expect to receive the following benefits from a meaningful, interactive progress review:</p> <ul style="list-style-type: none"> • Employees continually know what is expected of them and how well they are performing so that there are no surprises at the end of the appraisal year, • Employees and work units remain on track toward accomplishing their mission, goals, and objectives. • Work units usually reflect higher levels of performance achievement. • Accountability is properly maintained. • Supervisors become more aware of organizational problems and performance obstacles.
Note	<p>The progress review "meeting" can take several forms.</p> <p>It can be a one-time meeting where several topics are discussed.</p> <p>Or, it can be several meetings where one or more different topics are discussed.</p> <p>The supervisors will determine the best format for the progress review meeting(s) given their situation.</p>

Conducting Performance Reviews

CHAPTER SUMMARY

Summary

This chapter discussed how to review employee performance using the written performance standards. The steps of assessing performance, taking corrective action if performance is below standard, revising standards and meeting with the employee were covered. These steps occur during the appraisal period as often as they are needed. You are now ready to address the annual appraisal interview which occurs at the end of the appraisal period.

Note

Appendix A contains a summary of all of the procedures and checklists detailed in this chapter.

Conducting Performance Reviews

CHAPTER SUMMARY

Summary

This chapter discussed how to review employee performance using the written performance standards. The steps of assessing performance, taking corrective action if performance is below standard, revising standards and meeting with the employee were covered. These steps occur during the appraisal period as often as they are needed. You are now ready to address the annual appraisal interview which occurs at the end of the appraisal period.

Note

Appendix A contains a summary of all of the procedures and checklists detailed in this chapter.

Conducting Performance Reviews

CHAPTER SUMMARY

Summary

This chapter discussed how to review employee performance using the written performance standards. The steps of assessing performance, taking corrective action if performance is below standard, revising standards and meeting with the employee were covered. These steps occur during the appraisal period as often as they are needed. You are now ready to address the annual appraisal interview which occurs at the end of the appraisal period.

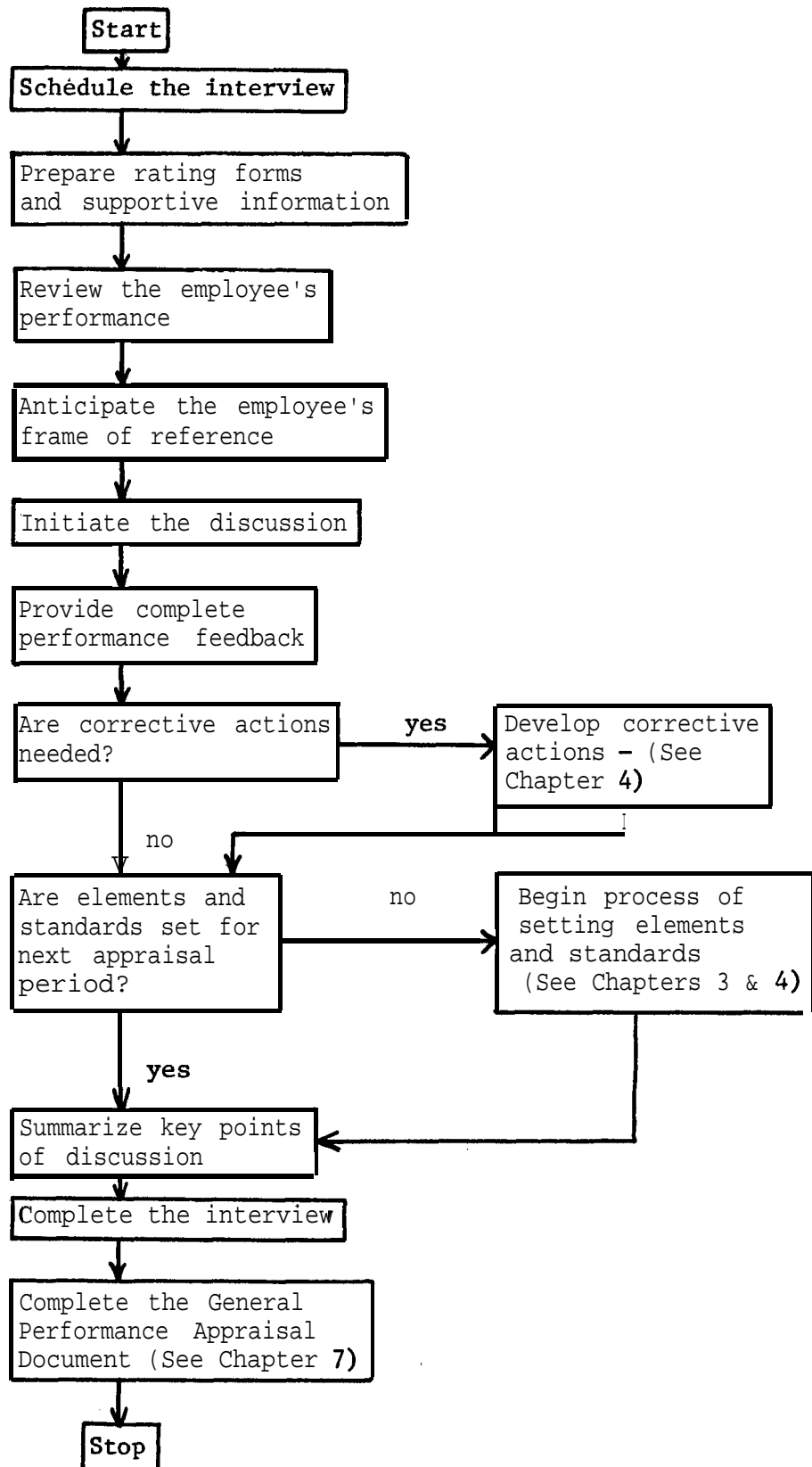
Note

Appendix A contains a summary of all of the procedures and checklists detailed in this chapter.

Conducting the Annual Appraisal Interview

CHAPTER OVERVIEW

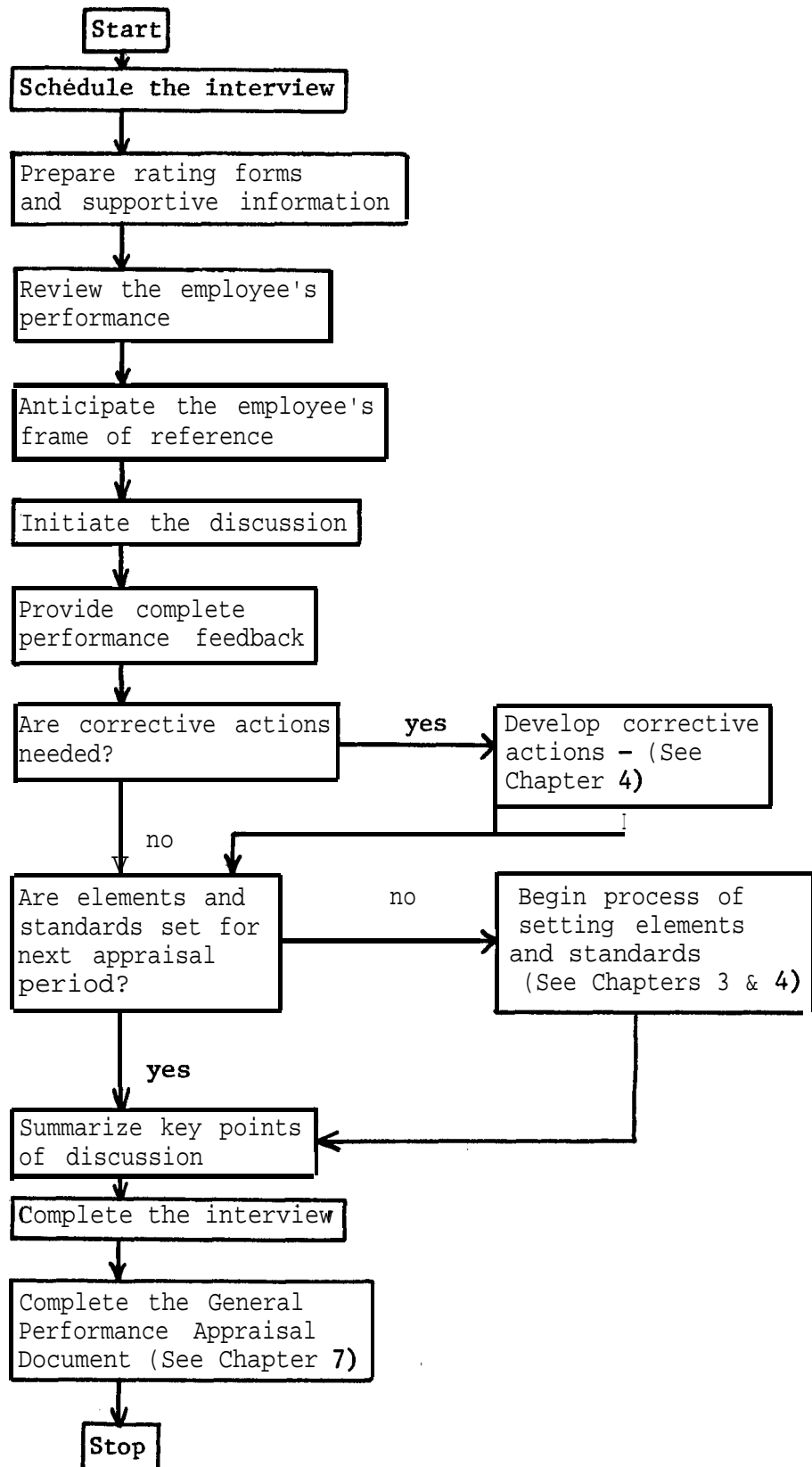
Overview
of the steps
for conducting
the annual
appraisal
interview



Conducting the Annual Appraisal Interview

CHAPTER OVERVIEW

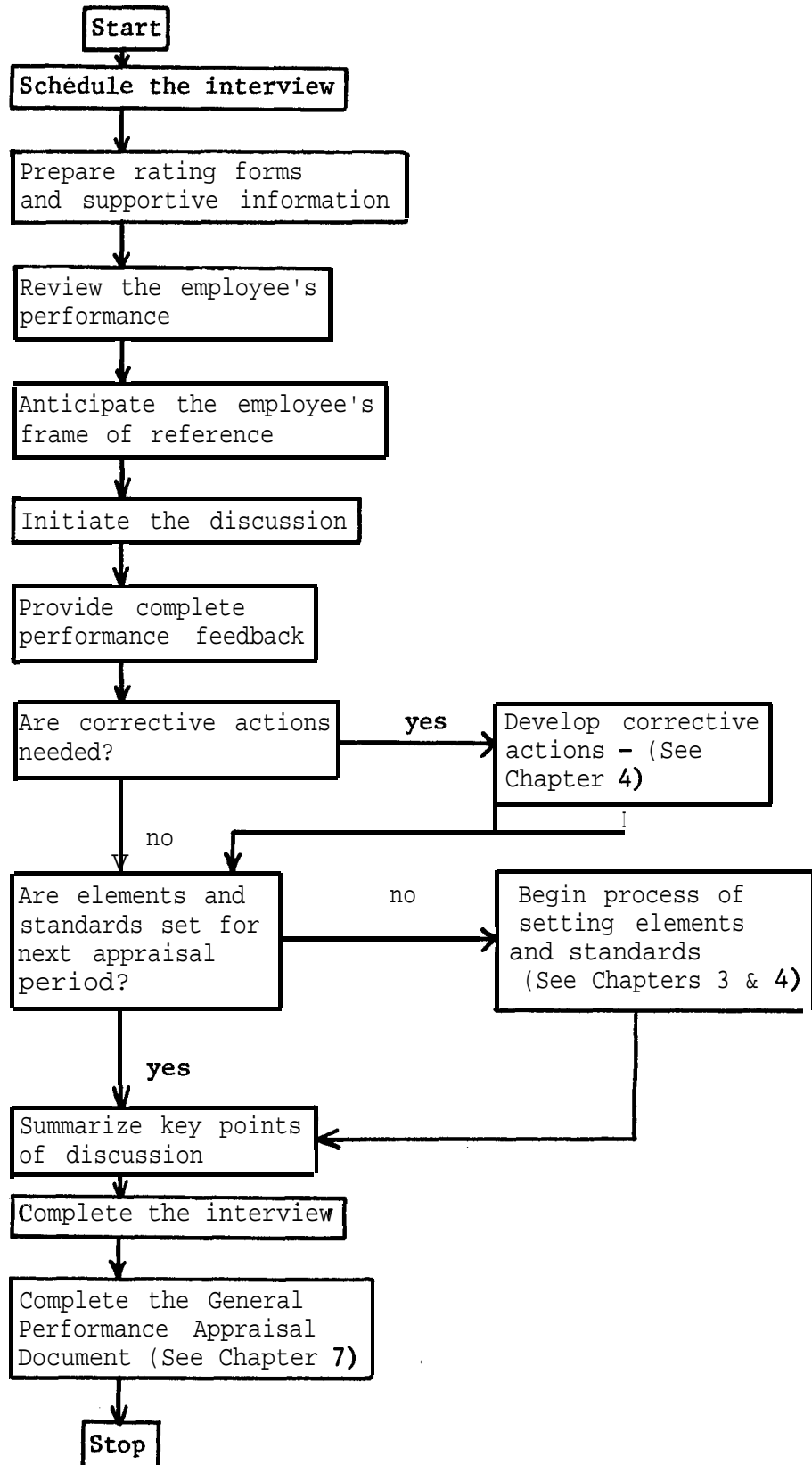
Overview
of the steps
for conducting
the annual
appraisal
interview



Conducting the Annual Appraisal Interview

CHAPTER OVERVIEW

Overview
of the steps
for conducting
the annual
appraisal
interview



Inducting the Annual Appraisal Interview

PROVIDING FEEDBACK AND DIRECTION

What is this step?

Providing feedback is the step of discussing with the employee his/her actual performance during the appraisal period.

Why is it important?

The feedback lets the employee know how he/she is being rated on the job elements.

What to do in this step?

When conducting the interview, in general:

- **Encourage** the employee's participation
- Be an active listener
- Discuss the employee's performance, not the employee
- Be sincere
- Do not discuss irrelevant topics
- Avoid vagueness, displays of anger, being overly critical
- Do not compare one employee to another or discuss any other employee's rating

How to do this step?

Step	Procedure
1.	<p>Initiate the discussion by telling the employee the purposes of the interview:</p> <ul style="list-style-type: none"> • to review his/her performance • to discuss his/her rating • to discuss action to improve performance • to plan next year's elements and standards
2.	<p>Conduct the interview, making sure you provide feedback on:</p> <ul style="list-style-type: none"> • accomplishments • areas in need of improvement • the employee's actual performance on each standard • all factors which explain non-achievement of a standard, including: <ul style="list-style-type: none"> - factors beyond the employee's control - factors within the employee's control • your rating of the employee's performance for each <u>element</u> • the basis for your <u>overall</u> rating

(continued on next page)

Inducting the Annual Appraisal Interview

PROVIDING FEEDBACK AND DIRECTION

What is this step?

Providing feedback is the step of discussing with the employee his/her actual performance during the appraisal period.

Why is it important?

The feedback lets the employee know how he/she is being rated on the job elements.

What to do in this step?

When conducting the interview, in general:

- **Encourage** the employee's participation
- Be an active listener
- Discuss the employee's performance, not the employee
- Be sincere
- Do not discuss irrelevant topics
- Avoid vagueness, displays of anger, being overly critical
- Do not compare one employee to another or discuss any other employee's rating

How to do this step?

Step	Procedure
1.	<p>Initiate the discussion by telling the employee the purposes of the interview:</p> <ul style="list-style-type: none"> • to review his/her performance • to discuss his/her rating • to discuss action to improve performance • to plan next year's elements and standards
2.	<p>Conduct the interview, making sure you provide feedback on:</p> <ul style="list-style-type: none"> • accomplishments • areas in need of improvement • the employee's actual performance on each standard • all factors which explain non-achievement of a standard, including: <ul style="list-style-type: none"> - factors beyond the employee's control - factors within the employee's control • your rating of the employee's performance for each <u>element</u> • the basis for your <u>overall</u> rating

(continued on next page)

Inducting the Annual Appraisal Interview

PROVIDING FEEDBACK AND DIRECTION

Step	Procedure
6.	<p>Complete the interview.</p> <ul style="list-style-type: none"> • Decide which option you will use to finalize the rating: <ul style="list-style-type: none"> - draft the rating, show it to the employee, show it to your supervisor, finalize the rating - draft the rating, show it to your supervisor, show it to the employee, finalize the rating - draft the rating, show it to your supervisor and the employee at the same time, finalize the rating - finalize the rating without input from any other source • Inform the employee of his/her rights regarding any disagreements with the appraisal determinations. • Tell the employee when he/she will be able to review and sign the appraisal document. • Thank the employee for participating in the interview.
7.	<p>Complete the performance appraisal document. Refer to Chapter 7 for steps to follow.</p>

Inducting the Annual Appraisal Interview

PROVIDING FEEDBACK AND DIRECTION

Step	Procedure
6.	<p>Complete the interview.</p> <ul style="list-style-type: none"> • Decide which option you will use to finalize the rating: <ul style="list-style-type: none"> - draft the rating, show it to the employee, show it to your supervisor, finalize the rating - draft the rating, show it to your supervisor, show it to the employee, finalize the rating - draft the rating, show it to your supervisor and the employee at the same time, finalize the rating - finalize the rating without input from any other source • Inform the employee of his/her rights regarding any disagreements with the appraisal determinations. • Tell the employee when he/she will be able to review and sign the appraisal document. • Thank the employee for participating in the interview.
7.	<p>Complete the performance appraisal document. Refer to Chapter 7 for steps to follow.</p>

Inducting the Annual Appraisal Interview

PROVIDING FEEDBACK AND DIRECTION

Step	Procedure
6.	<p>Complete the interview.</p> <ul style="list-style-type: none"> • Decide which option you will use to finalize the rating: <ul style="list-style-type: none"> - draft the rating, show it to the employee, show it to your supervisor, finalize the rating - draft the rating, show it to your supervisor, show it to the employee, finalize the rating - draft the rating, show it to your supervisor and the employee at the same time, finalize the rating - finalize the rating without input from any other source • Inform the employee of his/her rights regarding any disagreements with the appraisal determinations. • Tell the employee when he/she will be able to review and sign the appraisal document. • Thank the employee for participating in the interview.
7.	<p>Complete the performance appraisal document. Refer to Chapter 7 for steps to follow.</p>

CHAPTER 7

Completing the General Performance Appraisal Document

CHAPTER OVERVIEW**Introduction**

We have reviewed and discussed the employee's performance for the appraisal period. This chapter deals with completing the General Performance Appraisal Document.

Objectives

At the end of the chapter, **you** will be able to complete each of the following sections of the appraisal document:

- I Employee/Supervisor Identification
- II Supervisor Certification
- III Second-Level Supervisor Review
- IV Employee Certification
- V Job Element Appraisal Form
- VI Annual Performance Rating
- VII Acceptable Level of Competence
- VIII Recommendations
- IX Remarks

Requirement

The performance appraisal must be in writing with a copy provided to the employee.

**What the
Appraisal
Document
is used
for**

The appraisal document is used to document the beginning and end of appraisal period discussions and the annual, performance rating for each covered employee. Together, the document's nine sections form the basis upon which various personnel actions may be recommended and/or initiated.

**Where parts of
the appraisal
document**

See the table on the next two pages for a description of the name and purpose of each section of the appraisal document.

Sample

Following the table described above is Exhibit 8, an example of a completed appraisal document. This is only a sample. You must create a unique document for each employee based upon their performance **standards**.

CHAPTER 7

Completing the General Performance Appraisal Document

CHAPTER OVERVIEW**Introduction**

We have reviewed and discussed the employee's performance for the appraisal period. This chapter deals with completing the General Performance Appraisal Document.

Objectives

At the end of the chapter, **you** will be able to complete each of the following sections of the appraisal document:

- I Employee/Supervisor Identification
- II Supervisor Certification
- III Second-Level Supervisor Review
- IV Employee Certification
- V Job Element Appraisal Form
- VI Annual Performance Rating
- VII Acceptable Level of Competence
- VIII Recommendations
- IX Remarks

Requirement

The performance appraisal must be in writing with a copy provided to the employee.

**What the
Appraisal
Document
is used
for**

The appraisal document is used to document the beginning and end of appraisal period discussions and the annual, performance rating for each covered employee. Together, the document's nine sections form the basis upon which various personnel actions may be recommended and/or initiated.

**Where parts of
the appraisal
document**

See the table on the next two pages for a description of the name and purpose of each section of the appraisal document.

Sample

Following the table described above is Exhibit 8, an example of a completed appraisal document. This is only a sample. You must create a unique document for each employee based upon their performance **standards**.

Completing the General Performance Appraisal Document

DESCRIPTION OF GENERAL PERFORMANCE APPRAISAL DOCUMENT

Section	Title	Purpose
V	Job element appraisal form	<p>Constitutes</p> <ul style="list-style-type: none"> the job element appraisal form (1 per element) <p>Identifies</p> <ul style="list-style-type: none"> a job element important to the covered position the performance standard(s) for that element (lengthy standards may be attached) <p>Provides for</p> <ul style="list-style-type: none"> the description of the employee's actual performance the rating of that performance on a 3-point scale
VI	Annual performance rating	<p>Provides for</p> <ul style="list-style-type: none"> computation of the annual performance rating
VII	Acceptable level of competence	<p>Provides for</p> <ul style="list-style-type: none"> the notice of acceptable level of competence determination for within-grade pay increases
VIII	Recommendations	<p>Provides for</p> <ul style="list-style-type: none"> recommendations for action on employees with an unsatisfactory annual performance rating
IX	Remarks	<p>Provides for</p> <ul style="list-style-type: none"> first-level supervisor's additional comments second-level supervisor comments about appraisal determinations employee comments on appraisal determinations

Completing the General Performance Appraisal Document

DESCRIPTION OF GENERAL PERFORMANCE APPRAISAL DOCUMENT

Section	Title	Purpose
V	Job element appraisal form	<p>Constitutes</p> <ul style="list-style-type: none"> the job element appraisal form (1 per element) <p>Identifies</p> <ul style="list-style-type: none"> a job element important to the covered position the performance standard(s) for that element (lengthy standards may be attached) <p>Provides for</p> <ul style="list-style-type: none"> the description of the employee's actual performance the rating of that performance on a 3-point scale
VI	Annual performance rating	<p>Provides for</p> <ul style="list-style-type: none"> computation of the annual performance rating
VII	Acceptable level of competence	<p>Provides for</p> <ul style="list-style-type: none"> the notice of acceptable level of competence determination for within-grade pay increases
VIII	Recommendations	<p>Provides for</p> <ul style="list-style-type: none"> recommendations for action on employees with an unsatisfactory annual performance rating
IX	Remarks	<p>Provides for</p> <ul style="list-style-type: none"> first-level supervisor's additional comments second-level supervisor comments about appraisal determinations employee comments on appraisal determinations

GENERAL PERFORMANCE APPRAISAL DOCUMENT

Name	James P. Fixet	Title/Series/Grade	Electronics Technician - 856-11	Appraisal Period	From 7/1/81 To 6/30/82
------	----------------	--------------------	---------------------------------	------------------	------------------------

SECTION V -JOB ELEMENT (CRITICAL AND OTHER) APPRAISAL FORM

- INSTRUCTIONS:
1. Complete a Job Element Appraisal Form for each job element.
 2. The percent of relative importance of each critical job element must be at least 10% and not more than 100%.
 3. *Actual* performance need not be described if it is same as performance standards.
 4. A Job Element Score of 0 for any CJE REQUIRES an annual performance rating of "Unsatisfactory."

1. N <u>1</u> of <u>4</u>	2. <input checked="" type="checkbox"/> CJE <input type="checkbox"/> OJE	3. Job Element (Identify) System Performance	4. The Relative Importance of this Job Element is <u>50</u> %.
5. PERFORMANCE STANDARD(S) (Fully Acceptable Level)		6. DESCRIBE ACTUAL PERFORMANCE (Use as many additional copies of Page 2a as necessary to complete documentation of this job element. Draw horizontal line after performance under each standard is described.)	
1. Performs 90% of all required preventive maintenance checks for system(s) assigned.		1. Log indicates that P.M. checks have increased to 80% from 65% identified during Periodic Progress Review 11/3/81. Still needs some improvement in P.M.	
2. Performs preventive maintenance checks to the extent that system(s) availability/reliability meets the national average.		2. Preventive maintenance performed at about the national average . . . Improved performance compared to Periodic Progress Review 11/3/81.	
3. Conducts all system(s) certification in accordance with established policy.		3. All assigned systems/subsystems/equipment fully certified according to established policy.	
4. Logs and various records of system(s) inspections, evaluations, maintenance and certifications are maintained to the extent that they are an accurate representation of a facility's/system's performance as indicated by supervisory judgment.		4. Documentation is usually complete and accurate based on my periodic review of equipment. Two minor breakdowns in March could possibly have been avoided if P.M. checks were observed and documented more fully.	

7. Job Element Score (JES) is:

Fails to Meet
Standard(s)☐
0Meets
Standard(s)☒
1Exceeds
Standard(s)☐
2

GENERAL PERFORMANCE APPRAISAL DOCUMENT

Name	James P. Fixet	Title/Series/Grade	Electronics Technician - 856-11	Appraisal Period	From 7/1/81 To 6/30/82
------	----------------	--------------------	---------------------------------	------------------	------------------------

SECTION V -JOB ELEMENT (CRITICAL AND OTHER) APPRAISAL FORM

- INSTRUCTIONS:
1. Complete a Job Element Appraisal Form for each job element.
 2. The percent of relative importance of each critical job element must be at least 10% and not more than 100%.
 3. Actual performance need not be described if it is same as performance standards.
 4. A Job Element Score of 0 for any CJE REQUIRES an annual performance rating of "Unsatisfactory."

1. # <u>1</u> of <u>4</u>	2. <input checked="" type="checkbox"/> CJE <input type="checkbox"/> OJE	3. Job Element (Identify) System Performance	4. The Relative Importance of this Job Element is <u>50</u> %.
5. PERFORMANCE STANDARD(S) (Fully Acceptable Level)		6. DESCRIBE ACTUAL PERFORMANCE (Use as many additional copies of Page 2a as necessary to complete documentation of this job element. Draw horizontal line after performance under each standard is described.)	
1. Performs 90% of all required preventive maintenance checks for system(s) assigned.		1. Log indicates that P.M. checks have increased to 80% from 65% identified during Periodic Progress Review 11/3/81. Still needs some improvement in P.M.	
2. Performs preventive maintenance checks to the extent that system(s) availability/reliability meets the national average.		2. Preventive maintenance performed at about the national average . . . Improved performance compared to Periodic Progress Review 11/3/81.	
3. Conducts all system(s) certification in accordance with established policy.		3. All assigned systems/subsystems/equipment fully certified according to established policy.	
4. Logs and various records of system(s) inspections, evaluations, maintenance and certifications are maintained to the extent that they are an accurate representation of a facility's/system's performance as indicated by supervisory judgment.		4. Documentation is usually complete and accurate based on my periodic review of equipment. Two minor breakdowns in March could possibly have been avoided if P.M. checks were observed and documented more fully.	

7. Job Element Score (JES) is:

Fails to Meet
Standard(s)☐
0Meets
Standard(s)☒
1Exceeds
Standard(s)☐
2

GENERAL PERFORMANCE APPRAISAL DOCUMENT

Name	James P. Fixet	Title/Series/Grade	Electronics Technician - 856-11	Appraisal Period	From 7/1/81 To 6/30/82
------	----------------	--------------------	---------------------------------	------------------	------------------------

SECTION V -JOB ELEMENT (CRITICAL AND OTHER) APPRAISAL FORM

- INSTRUCTIONS:
1. Complete a Job Element Appraisal Form for each job element.
 2. The percent of relative importance of each critical job element must be at least 10% and not more than 100%.
 3. Actual performance need not be described if it is same as performance standards.
 4. A Job Element Score of 0 for any CJE REQUIRES an annual performance rating of "Unsatisfactory."

1. $\frac{1}{4}$	2. <input checked="" type="checkbox"/> CJE <input type="checkbox"/> OJE	3. Job Element (Identify) System Performance	4. The Relative Importance of this Job Element is 50 %.
5. PERFORMANCE STANDARD(S) (Fully Acceptable Level)		6. DESCRIBE ACTUAL PERFORMANCE (Use as many additional copies of Page 2a as necessary to complete documentation of this job element. Draw horizontal line after performance under each standard is described.)	
1. Performs 90% of all required preventive maintenance checks for system(s) assigned.		1. Log indicates that P.M. checks have increased to 80% from 65% identified during Periodic Progress Review 11/3/81. Still needs some improvement in P.M.	
2. Performs preventive maintenance checks to the extent that system(s) availability/reliability meets the national average.		2. Preventive maintenance performed at about the national average . . . Improved performance compared to Periodic Progress Review 11/3/81.	
3. Conducts all system(s) certification in accordance with established policy.		3. All assigned systems/subsystems/equipment fully certified according to established policy.	
4. Logs and various records of system(s) inspections, evaluations, maintenance and certifications are maintained to the extent that they are an accurate representation of a facility's/system's performance as indicated by supervisory judgment.		4. Documentation is usually complete and accurate based on my periodic review of equipment. Two minor breakdowns in March could possibly have been avoided if P.M. checks were observed and documented more fully.	

7. Job Element Score (JES) is:

Fails to Meet
Standard(s)☐
0Meets
Standard(s)☒
1Exceeds
Standard(s)☐
2

GENERAL PERFORMANCE APPRAISAL DOCUMENT

Name	James P. Fixet	Title/Series/Grade	Electronics Technician - 856-11	Appraisal Period	From 7/1/81	To 6/30
------	----------------	--------------------	---------------------------------	------------------	-------------	---------

SECTION V -JOB ELEMENT (CRITICAL AND OTHER) APPRAISAL FORM

- INSTRUCTIONS:
1. Complete a Job Element Appraisal Form for each job element.
 2. The percent of relative importance of each critical job element must be at least 10% and not more than 100%.
 3. Actual performance need not be described if it is same as performance standards.
 4. A Job Element Score of 0 for any CJE REQUIRES an annual performance rating of "Unsatisfactory."

1. N of <u>4</u> <u>4</u>	2. <input type="checkbox"/> CJE <input checked="" type="checkbox"/> JOJE	3. Job Element (Identify) On-the-job Training	4. The Relative importance of this Job Element is <u>10</u> %.
5. PERFORMANCE STANDARD(S) (Fully Acceptable Level)		6. DESCRIBE ACTUAL PERFORMANCE (Use as many additional copies of Page 2a as necessary to complete documentation of this job element. Draw horizontal line after performance under each standard is described.)	
1. All lower-level technicians the employee is responsible for acquire the necessary skills required to maintain their assigned system(s), as indicated by each of the technicians passing at least one surprise inspection on each system.		1. All technicians passed two surprise inspections on each system.	
2. Three lower-level technicians for which he/she acts as a mentor progress to the full performance technician level within 12 months.		2. The three technicians achieved the full performance technician level in 8, 9 and 11 months respectively.	
7. Job Element Score (JES) is:		Fails to Meet Standard(s) <input type="checkbox"/> 0 Meets Standard(s) <input type="checkbox"/> 1 Exceeds Standard(s) <input type="checkbox"/> 2	

GENERAL PERFORMANCE APPRAISAL DOCUMENT

Name	James P. Fixet	Title/Series/Grade	Electronics Technician - 856-11	Appraisal Period	From 7/1/81	To 6/30
------	----------------	--------------------	---------------------------------	------------------	-------------	---------

SECTION V -JOB ELEMENT (CRITICAL AND OTHER) APPRAISAL FORM

INSTRUCTIONS:

1. Complete a Job Element Appraisal Form for each job element.
2. The percent of relative importance of each critical job element must be at least 10% and not more than 100%.
3. Actual performance need not be described if it is same as performance standards.
4. A Job Element Score of 0 for any CJE REQUIRES an annual performance rating of "Unsatisfactory."

1. N of <u>4</u> <u>4</u>	2. <input type="checkbox"/> CJE <input checked="" type="checkbox"/> JOJE	3. Job Element (Identify) On-the-job Training	4. The Relative importance of this Job Element is <u>10</u> %.
------------------------------	--	--	--

5. PERFORMANCE STANDARD(S) (Fully Acceptable Level)	6. DESCRIBE ACTUAL PERFORMANCE (Use as many additional copies of Page 2a as necessary to complete documentation of this job element. Draw horizontal line after performance under each standard is described.)
1. All lower-level technicians the employee is responsible for acquire the necessary skills required to maintain their assigned system(s), as indicated by each of the technicians passing at least one surprise inspection on each system.	1. All technicians passed two surprise inspections on each system.
2. Three lower-level technicians for which he/she acts as a mentor progress to the full performance technician level within 12 months.	2. The three technicians achieved the full performance technician level in 8, 9 and 11 months respectively.

Job Element Score (JES) is:	Fails to Meet Standard(s) <input type="checkbox"/> 0	Meets Standard(s) <input type="checkbox"/> 1	Exceeds Standard(s) <input type="checkbox"/> 2
-----------------------------	--	--	--

SECTION VIII – RECOMMENDATIONS**PERSONNEL ACTION(S) RECOMMENDED BASED ON UNSATISFACTORY PERFORMANCE****UNSATISFACTORY RATING**

Reassignment



Demotion

☐ Removal

Other (Specify)

SECTION IX – REMARKS (Use additional sheet(s) if needed.)

SECTION VIII – RECOMMENDATIONS**PERSONNEL ACTION(S) RECOMMENDED BASED ON UNSATISFACTORY PERFORMANCE****UNSATISFACTORY RATING**☐ Reassignment☐ Demotion☐ Removal☐ Other (*Specify*)**SECTION IX – REMARKS (*Use additional sheet(s) if needed.*)**

Completing the General Performance Appraisal Document

SECTION II SUPERVISOR'S (RATING OFFICIAL) CERTIFICATION

When
completed

At the conclusion of the rating cycle.

How to
complete
this
section

Item	Procedure
1.	Indicate the <u>period of time</u> during which you supervised the employee.
2.	Your <u>signature</u> certifies <ul style="list-style-type: none"> the performance appraisal is based on actual performance on the job which was compared to the performance standards previously established for each job element.

Note

If the rating official was changed during the appraisal period, refer to paragraph **15.g (3)** of the order. It specifies the time period that must elapse before new supervisors may conduct and certify performance appraisals.

Completing the General Performance Appraisal Document

SECTION II SUPERVISOR'S (RATING OFFICIAL) CERTIFICATION

When
completed

At the conclusion of the rating cycle.

How to
complete
this
section

Item	Procedure
1.	Indicate the <u>period of time</u> during which you supervised the employee.
2.	Your <u>signature</u> certifies <ul style="list-style-type: none"> the performance appraisal is based on actual performance on the job which was compared to the performance standards previously established for each job element.

Note

If the rating official was changed during the appraisal period, refer to paragraph **15.g (3)** of the order. It specifies the time period that must elapse before new supervisors may conduct and certify performance appraisals.

Completing the General Performance Appraisal Document

SECTION II SUPERVISOR'S (RATING OFFICIAL) CERTIFICATION

When
completed

At the conclusion of the rating cycle.

How to
complete
this
section

Item	Procedure
1.	Indicate the <u>period of time</u> during which you supervised the employee.
2.	Your <u>signature</u> certifies <ul style="list-style-type: none"> the performance appraisal is based on actual performance on the job which was compared to the performance standards previously established for each job element.

Note

If the rating official was changed during the appraisal period, refer to paragraph **15.g (3)** of the order. It specifies the time period that must elapse before new supervisors may conduct and certify performance appraisals.

Completing the General Performance Appraisal Document

SECTION V JOB ELEMENT APPRAISAL FORM

When
completed

The job element appraisal form must be completed after the employee has completed his/her performance on the job element for the appraisal period. One job element appraisal form must be completed for each of the employee's job elements.

Note

Before completing this section, the supervisor should note that:

- no more than 7 **CJEs** may be established for the appraisal period
- supervisory positions covered under the General Performance Appraisal System must include the following three **CJEs**:
 - Individual/Supervisory Responsibilities
 - Affirmative Action and Equal Employment Opportunity Accomplishments
 - Organizational Accomplishments
- Non-supervisory employees must have at least 1 **CJE**
- No job element may be assigned a percentage value of importance less than ten percent
- The total percentage value of all **CJEs** must equal a minimum of seventy-five percent of the total job
- No **OJE** may be assigned a percentage value equal to or greater than the lowest percentage value of any **CJE**

Completing the General Performance Appraisal Document

SECTION V JOB ELEMENT APPRAISAL FORM

When
completed

The job element appraisal form must be completed after the employee has completed his/her performance on the job element for the appraisal period. One job element appraisal form must be completed for each of the employee's job elements.

Note

Before completing this section, the supervisor should note that:

- no more than 7 **CJEs** may be established for the appraisal period
- supervisory positions covered under the General Performance Appraisal System must include the following three **CJEs**:
 - Individual/Supervisory Responsibilities
 - Affirmative Action and Equal Employment Opportunity Accomplishments
 - Organizational Accomplishments
- Non-supervisory employees must have at least 1 **CJE**
- No job element may be assigned a percentage value of importance less than ten percent
- The total percentage value of all **CJEs** must equal a minimum of seventy-five percent of the total job
- No **OJE** may be assigned a percentage value equal to or greater than the lowest percentage value of any **CJE**

Completing the General Performance Appraisal Document

SECTION V JOB ELEMENT APPRAISAL FORM

Step	Procedure								
7.	<p>Use the following scale to describe the employee's <u>overall</u> performance level on this <u>job element</u>.</p> <p>0 - fails to meet standard(s) 1 - meets standard(s) 2 - exceeds standard(s)</p> <p>Consider the results of each standard and select the overall score that best describes the employee's overall performance on the total job element. Use the scores below:</p> <table border="0"> <thead> <tr> <th><u>Score</u></th><th><u>Description</u></th></tr> </thead> <tbody> <tr> <td>0</td><td><u>Fails to meet standard.</u> Assigned when an employee does not meet the level of performance expected by the supervisor as reflected in the performance standard.</td></tr> <tr> <td>1</td><td><u>Meets standard.</u> Assigned when the employee's actual performance meets the level expected by the supervisor as reflected in the performance standard.</td></tr> <tr> <td>2</td><td><u>Exceeds standard.</u> Assigned when the employee's actual performance exceeds the level expected by the supervisor as reflected in the performance standard.</td></tr> </tbody> </table> <p>Note: If a job element score for any CJE is 0, an <u>annual</u> performance rating of "unsatisfactory" <u>must</u> be assigned.</p>	<u>Score</u>	<u>Description</u>	0	<u>Fails to meet standard.</u> Assigned when an employee does not meet the level of performance expected by the supervisor as reflected in the performance standard.	1	<u>Meets standard.</u> Assigned when the employee's actual performance meets the level expected by the supervisor as reflected in the performance standard.	2	<u>Exceeds standard.</u> Assigned when the employee's actual performance exceeds the level expected by the supervisor as reflected in the performance standard.
<u>Score</u>	<u>Description</u>								
0	<u>Fails to meet standard.</u> Assigned when an employee does not meet the level of performance expected by the supervisor as reflected in the performance standard.								
1	<u>Meets standard.</u> Assigned when the employee's actual performance meets the level expected by the supervisor as reflected in the performance standard.								
2	<u>Exceeds standard.</u> Assigned when the employee's actual performance exceeds the level expected by the supervisor as reflected in the performance standard.								

Note

National standards may contain additional information **concerning** how to complete this section.

Completing the General Performance Appraisal Document

SECTION V JOB ELEMENT APPRAISAL FORM

Step	Procedure								
7.	<p>Use the following scale to describe the employee's <u>overall</u> performance level on this <u>job element</u>.</p> <p>0 - fails to meet standard(s) 1 - meets standard(s) 2 - exceeds standard(s)</p> <p>Consider the results of each standard and select the overall score that best describes the employee's overall performance on the total job element. Use the scores below:</p> <table border="0"> <thead> <tr> <th><u>Score</u></th><th><u>Description</u></th></tr> </thead> <tbody> <tr> <td>0</td><td><u>Fails to meet standard.</u> Assigned when an employee does not meet the level of performance expected by the supervisor as reflected in the performance standard.</td></tr> <tr> <td>1</td><td><u>Meets standard.</u> Assigned when the employee's actual performance meets the level expected by the supervisor as reflected in the performance standard.</td></tr> <tr> <td>2</td><td><u>Exceeds standard.</u> Assigned when the employee's actual performance exceeds the level expected by the supervisor as reflected in the performance standard.</td></tr> </tbody> </table> <p>Note: If a job element score for any CJE is 0, an <u>annual</u> performance rating of "unsatisfactory" <u>must</u> be assigned.</p>	<u>Score</u>	<u>Description</u>	0	<u>Fails to meet standard.</u> Assigned when an employee does not meet the level of performance expected by the supervisor as reflected in the performance standard.	1	<u>Meets standard.</u> Assigned when the employee's actual performance meets the level expected by the supervisor as reflected in the performance standard.	2	<u>Exceeds standard.</u> Assigned when the employee's actual performance exceeds the level expected by the supervisor as reflected in the performance standard.
<u>Score</u>	<u>Description</u>								
0	<u>Fails to meet standard.</u> Assigned when an employee does not meet the level of performance expected by the supervisor as reflected in the performance standard.								
1	<u>Meets standard.</u> Assigned when the employee's actual performance meets the level expected by the supervisor as reflected in the performance standard.								
2	<u>Exceeds standard.</u> Assigned when the employee's actual performance exceeds the level expected by the supervisor as reflected in the performance standard.								

Note

National standards may contain additional information **concerning** how to complete this section.

Completing the General Performance Appraisal Document

SECTION V JOB ELEMENT APPRAISAL FORM

Step	Procedure								
7.	<p>Use the following scale to describe the employee's <u>overall</u> performance level on this <u>job element</u>.</p> <p>0 - fails to meet standard(s) 1 - meets standard(s) 2 - exceeds standard(s)</p> <p>Consider the results of each standard and select the overall score that best describes the employee's overall performance on the total job element. Use the scores below:</p> <table border="0"> <thead> <tr> <th><u>Score</u></th><th><u>Description</u></th></tr> </thead> <tbody> <tr> <td>0</td><td><u>Fails to meet standard.</u> Assigned when an employee does not meet the level of performance expected by the supervisor as reflected in the performance standard.</td></tr> <tr> <td>1</td><td><u>Meets standard.</u> Assigned when the employee's actual performance meets the level expected by the supervisor as reflected in the performance standard.</td></tr> <tr> <td>2</td><td><u>Exceeds standard.</u> Assigned when the employee's actual performance exceeds the level expected by the supervisor as reflected in the performance standard.</td></tr> </tbody> </table> <p>Note: If a job element score for any CJE is 0, an <u>annual</u> performance rating of "unsatisfactory" <u>must</u> be assigned.</p>	<u>Score</u>	<u>Description</u>	0	<u>Fails to meet standard.</u> Assigned when an employee does not meet the level of performance expected by the supervisor as reflected in the performance standard.	1	<u>Meets standard.</u> Assigned when the employee's actual performance meets the level expected by the supervisor as reflected in the performance standard.	2	<u>Exceeds standard.</u> Assigned when the employee's actual performance exceeds the level expected by the supervisor as reflected in the performance standard.
<u>Score</u>	<u>Description</u>								
0	<u>Fails to meet standard.</u> Assigned when an employee does not meet the level of performance expected by the supervisor as reflected in the performance standard.								
1	<u>Meets standard.</u> Assigned when the employee's actual performance meets the level expected by the supervisor as reflected in the performance standard.								
2	<u>Exceeds standard.</u> Assigned when the employee's actual performance exceeds the level expected by the supervisor as reflected in the performance standard.								

Note

National standards may contain additional information **concerning** how to complete this section.

Completing the General Performance Appraisal Document

SECTION VIII RECOMMENDATIONS

Note This section must be completed for all employees receiving an **unsatisfactory** performance rating.

When completed The section should be completed before the end of the annual performance interview.

How to
complete
this
section

Step	Procedure	
1.	Meet with the employee to <ul style="list-style-type: none"> • determine the cause for the less than acceptable performance • identify action that can be taken to improve performance during the next appraisal period When determining personnel actions, you should consider <ul style="list-style-type: none"> • the severity and longevity of the performance weakness • the result of any actions you previously initiated 	
	2.	
2.	Decide	
	If....	Then....
 further assistance will help to improve the employee's performance recommend action such as <ul style="list-style-type: none"> • closer supervision • counseling • training (see Step 4)
 further assistance will probably <u>not</u> help to improve the employee's performance see your Labor Relations-or Personnel Specialist

(continued on next page)

Completing the General Performance Appraisal Document

SECTION VIII RECOMMENDATIONS

Note This section must be completed for all employees receiving an **unsatisfactory** performance rating.

When completed The section should be completed before the end of the annual performance interview.

How to complete this section

Step	Procedure						
1.	<p>Meet with the employee to</p> <ul style="list-style-type: none"> • determine the cause for the less than acceptable performance • identify action that can be taken to improve performance during the next appraisal period <p>When determining personnel actions, you should consider</p> <ul style="list-style-type: none"> • the severity and longevity of the performance weakness • the result of any actions you previously initiated 						
2.	<p>Decide</p> <table> <tr> <th>If....</th><th>Then....</th></tr> <tr> <td>....further assistance will help to improve the employee's performance</td><td> recommend action such as <ul style="list-style-type: none"> • closer supervision • counseling • training (see Step 4) </td></tr> <tr> <td>.... further assistance will probably <u>not</u> help to improve the employee's performance</td><td>....see your Labor Relations-or Personnel Specialist</td></tr> </table>	If....	Then.... further assistance will help to improve the employee's performance recommend action such as <ul style="list-style-type: none"> • closer supervision • counseling • training (see Step 4) further assistance will probably <u>not</u> help to improve the employee's performance see your Labor Relations-or Personnel Specialist
If....	Then....						
.... further assistance will help to improve the employee's performance recommend action such as <ul style="list-style-type: none"> • closer supervision • counseling • training (see Step 4) 						
.... further assistance will probably <u>not</u> help to improve the employee's performance see your Labor Relations-or Personnel Specialist						

(continued on next page)

Completing the General Performance Appraisal Document

SECTION IX REMARKS

When this section is completed

When the...	is	and wants to make these types of comments:
Supervisor	preparing the appraisal	<ul style="list-style-type: none"> • Recommend training for an unsatisfactory performer • Remarks from Section VII concerning certification of an acceptable level of competence • Other comments
Second-level Supervisor	reviewing the appraisal	<ul style="list-style-type: none"> • Agreements or disagreement! with any part of the appraisal document or process • Other comments
Employee	receiving the appraisal	

Completing the General Performance Appraisal Document

SECTION IX REMARKS

When this section is completed

When the...	is	and wants to make these types of comments:
Supervisor	preparing the appraisal	<ul style="list-style-type: none"> • Recommend training for an unsatisfactory performer • Remarks from Section VII concerning certification of an acceptable level of competence • Other comments
Second-level Supervisor	reviewing the appraisal	<ul style="list-style-type: none"> • Agreements or disagreement! with any part of the appraisal document or process • Other comments
Employee	receiving the appraisal	

Completing the General Performance Appraisal Document

SECTION IX REMARKS

When this section is completed

When the...	is	and wants to make these types of comments:
Supervisor	preparing the appraisal	<ul style="list-style-type: none"> • Recommend training for an unsatisfactory performer • Remarks from Section VII concerning certification of an acceptable level of competence • Other comments
Second-level Supervisor	reviewing the appraisal	<ul style="list-style-type: none"> • Agreements or disagreement! with any part of the appraisal document or process • Other comments
Employee	receiving the appraisal	

Appendix A

QUICK SUMMARY OF PERFORMANCE APPRAISAL STEPS

Introduction

Once you have read this Desk Guide and performed all of the procedures it describes, you will no longer need the level of detail presented in the **preceding** seven chapters. This appendix provides you with a quick summary of all the steps – and their respective evaluation checklists. You can use it to guide you through the appraisal process once you know how to do all of the steps.

Appendix A

Table of Contents

<u>Contents</u>	<u>Page</u>
Analyzing the Employee's Positions	
Procedures	114
Evaluation checklist	117
Writing and Communicating Performance Standards	
Procedures	118
Criteria for performance standards	119
Evaluation checklist	120
Conducting Performance Reviews	
Procedures for assessing performance	121
Procedures for taking corrective action	121
Procedures for revising standards	123
Procedures for meeting to review progress.	124
Evaluation checklists	126
Conducting the Annual Appraisal Interview	
Procedures for preparing for the interview	127
Procedures for conducting the interview	128
Evaluation checklist	130

Appendix A

QUICK SUMMARY OF PERFORMANCE APPRAISAL STEPS

Introduction

Once you have read this Desk Guide and performed all of the procedures it describes, you will no longer need the level of detail presented in the **preceding** seven chapters. This appendix provides you with a quick summary of all the steps – and their respective evaluation checklists. You can use it to guide you through the appraisal process once you know how to do all of the steps.

Appendix A

Table of Contents

<u>Contents</u>	<u>Page</u>
Analyzing the Employee's Positions	
Procedures	114
Evaluation checklist	117
Writing and Communicating Performance Standards	
Procedures	118
Criteria for performance standards	119
Evaluation checklist	120
Conducting Performance Reviews	
Procedures for assessing performance	121
Procedures for taking corrective action	121
Procedures for revising standards	123
Procedures for meeting to review progress.	124
Evaluation checklists	126
Conducting the Annual Appraisal Interview	
Procedures for preparing for the interview	127
Procedures for conducting the interview	128
Evaluation checklist	130

Appendix A

ANALYZING THE EMPLOYEE'S POSITION

Summary of
procedures
for
analyzing
the
employee's
position

Step	Procedure
6.	<ul style="list-style-type: none"> • In what way does a specific task, activity and/or duty contribute to the accomplishment of the mission of the work unit? • In what way does a particular task, activity and/or duty contribute to the realization of the intent and purpose for which the position exists? • What type of work assignments do I most often hold the employee accountable for accomplishing? • Are there certain aspects of the position which I stress more often than others, not at all, or very little, when making work assignments or discussing performance achievements? • Has the employee during the past year had the opportunity to engage in all the tasks, activities and/or duties identified in the position description? • Will the employee have work assignments during the up-coming year which encompass the tasks, activities and/or duties I consider important? • What are the consequences of inadequate performance on the job?
7.	List the job elements.
8.	<p>Determine if the number of job elements is 7 or less. If it is, skip to #11.</p>

(continued on next page)

Appendix A

ANALYZING THE EMPLOYEE'S POSITION

Summary of
procedures
for
analyzing
the
employee's
position

Step	Procedure
6.	<ul style="list-style-type: none"> • In what way does a specific task, activity and/or duty contribute to the accomplishment of the mission of the work unit? • In what way does a particular task, activity and/or duty contribute to the realization of the intent and purpose for which the position exists? • What type of work assignments do I most often hold the employee accountable for accomplishing? • Are there certain aspects of the position which I stress more often than others, not at all, or very little, when making work assignments or discussing performance achievements? • Has the employee during the past year had the opportunity to engage in all the tasks, activities and/or duties identified in the position description? • Will the employee have work assignments during the up-coming year which encompass the tasks, activities and/or duties I consider important? • What are the consequences of inadequate performance on the job?
7.	List the job elements.
8.	<p>Determine if the number of job elements is 7 or less. If it is, skip to #11.</p>

(continued on next page)

Appendix A

ANALYZING THE EMPLOYEE'S POSITION

Summary of
procedures
for
analyzing
the
employee's
position

Step	Procedure
6.	<ul style="list-style-type: none"> • In what way does a specific task, activity and/or duty contribute to the accomplishment of the mission of the work unit? • In what way does a particular task, activity and/or duty contribute to the realization of the intent and purpose for which the position exists? • What type of work assignments do I most often hold the employee accountable for accomplishing? • Are there certain aspects of the position which I stress more often than others, not at all, or very little, when making work assignments or discussing performance achievements? • Has the employee during the past year had the opportunity to engage in all the tasks, activities and/or duties identified in the position description? • Will the employee have work assignments during the up-coming year which encompass the tasks, activities and/or duties I consider important? • What are the consequences of inadequate performance on the job?
7.	List the job elements.
8.	<p>Determine if the number of job elements is 7 or less. If it is, skip to #11.</p>

(continued on next page)

Appendix A

WRITING AND COMMUNICATING PERFORMANCE STANDARDS

Summary of
procedures
for
writing
and
communicating
performance
standards

Step	Procedure
1.	<ul style="list-style-type: none"> - Determine if there are pre-determined standards. - if there are pre-determined standards, they must be used. However, in some instances local supplementation is permitted. - if you use pre-determined standards skip steps 2 and 3, but you <u>must</u> complete steps 4, 5 and 6.
2.	<p>Prepare you employees to participate in the standard setting process.</p> <ul style="list-style-type: none"> - if they prepare a draft of their standards, they will need a copy of the appropriate section of these guidelines and perhaps some training and assistance.
3.	<p>Write the performance standards for your employee.</p> <ol style="list-style-type: none"> a. Select a job element. b. Decide on the required level of performance for the element. c. Review the criteria of a good standard in Table 1. d. Write a standard using <ul style="list-style-type: none"> • a verb describing the action to be measured • a single item describing the results required • a measure of the required <ul style="list-style-type: none"> - quantity - quality - timeliness - impact - manner of performance e. Make sure the standard meets all the criteria in Table 1. f. Make sure all the elements have at least one standard.

(continued on next page)

Appendix A

WRITING AND COMMUNICATING PERFORMANCE STANDARDS

Summary of
procedures
for
writing
and
communicating
performance
standards

Step	Procedure
1.	<ul style="list-style-type: none"> - Determine if there are pre-determined standards. - if there are pre-determined standards, they must be used. However, in some instances local supplementation is permitted. - if you use pre-determined standards skip steps 2 and 3, but you <u>must</u> complete steps 4, 5 and 6.
2.	<p>Prepare you employees to participate in the standard setting process.</p> <ul style="list-style-type: none"> - if they prepare a draft of their standards, they will need a copy of the appropriate section of these guidelines and perhaps some training and assistance.
3.	<p>Write the performance standards for your employee.</p> <ol style="list-style-type: none"> a. Select a job element. b. Decide on the required level of performance for the element. c. Review the criteria of a good standard in Table 1. d. Write a standard using <ul style="list-style-type: none"> • a verb describing the action to be measured • a single item describing the results required • a measure of the required <ul style="list-style-type: none"> - quantity - quality - timeliness - impact - manner of performance e. Make sure the standard meets all the criteria in Table 1. f. Make sure all the elements have at least one standard.

(continued on next page)

Appendix A

WRITING AND COMMUNICATING PERFORMANCE STANDARDS

Summary of
procedures
for
writing
and
communicating
performance
standards

Step	Procedure
1.	<ul style="list-style-type: none"> - Determine if there are pre-determined standards. - if there are pre-determined standards, they must be used. However, in some instances local supplementation is permitted. - if you use pre-determined standards skip steps 2 and 3, but you <u>must</u> complete steps 4, 5 and 6.
2.	<p>Prepare you employees to participate in the standard setting process.</p> <ul style="list-style-type: none"> - if they prepare a draft of their standards, they will need a copy of the appropriate section of these guidelines and perhaps some training and assistance.
3.	<p>Write the performance standards for your employee.</p> <ol style="list-style-type: none"> a. Select a job element. b. Decide on the required level of performance for the element. c. Review the criteria of a good standard in Table 1. d. Write a standard using <ul style="list-style-type: none"> • a verb describing the action to be measured • a single item describing the results required • a measure of the required <ul style="list-style-type: none"> - quantity - quality - timeliness - impact - manner of performance e. Make sure the standard meets all the criteria in Table 1. f. Make sure all the elements have at least one standard.

(continued on next page)

Appendix A

CONDUCTING PERFORMANCE REVIEWS

Summary of
Steps
for conducting
Performance
Reviews

Assessing
Performance

Step	Procedure
1. Optional	<p>Begin collecting data on employee progress towards the standards immediately after assigning accountability for the standard.</p> <ul style="list-style-type: none"> - the data should reflect demonstrated progress - some of the data can be collected by the employee on some form of tally sheet which should be checked periodically by the supervisor - data collected by the supervisor should be based on <u>observed</u> performance.
2.	<p>Wait until the employee has had sufficient time to demonstrate performance in one or more of the job elements. Then, compare the employee's actual performance to the fully acceptable standard of performance.</p>
3.	<p>Use the second column of the <u>Periodic Progress Review Worksheet (PPRW)</u> to record the employee's actual performance.</p> <ul style="list-style-type: none"> - record the actual performance in the same measurable terms that were used to define the standard - if a standard is not applicable, record the reason in Column 2.
4.	<p>Note the employee's strengths and weaknesses in Column 2 <i>next</i> to the appropriate standard. If all standards are met, skip to step 10.</p>
5.	<p>Identify the standards which the employee failed to meet.</p>

Taking planned
corrective
action

(continued on next page)

Appendix A

CONDUCTING PERFORMANCE REVIEWS

Summary of
steps
for conducting
performance
reviews

Assessing
performance

Step	Procedure
1. Optional	<p>Begin collecting data on employee progress towards the standards immediately after assigning accountability for the standard.</p> <ul style="list-style-type: none"> - the data should reflect demonstrated progress - some of the data can be collected by the employee on some form of tally sheet which should be checked periodically by the supervisor - data collected by the supervisor should be based on <u>observed</u> performance.
2.	<p>Wait until the employee has had sufficient time to demonstrate performance in one or more of the job elements. Then, compare the employee's actual performance to the fully acceptable standard of performance.</p>
3.	<p>Use the second column of the <u>Periodic Progress Review Worksheet (PPRW)</u> to record the employee's actual performance.</p> <ul style="list-style-type: none"> - record the actual performance in the same measurable terms that were used to define the standard - if a standard is not applicable, record the reason in Column 2.
4.	<p>Note the employee's strengths and weaknesses in Column 2 <i>next</i> to the appropriate standard. If all standards are met, skip to step 10.</p>
5.	<p>Identify the standards which the employee failed to meet.</p>

Taking planned
corrective
action

(continued on next page)

CONDUCTING PERFORMANCE REVIEWS

Revising
performance
standards

Step	Procedure
8.	Develop, with participation from the employee, action plans for improving the employee's performance.
9.	Document the action plans. This means: <ul style="list-style-type: none"> • write the plan(s) on plain paper or on the periodic progress review worksheet • date and sign the plan • have the employee sign the plan • give a copy to the employee • note on your copy the date the employee received the copy • retain your copy, along with the position description, for one year after completion of the General Performance Appraisal Document for that appraisal period.
10.	Determine if any of an employee's performance standards need to be revised (changed, added or dropped). If <u>none</u> of the standards need to be revised, skip to step 13. A revision might be necessary if there have been changes in the organization's or work group's, <ul style="list-style-type: none"> • mission, goals, objectives • priorities • timeliness • resource allocations
11.	Revise, with participation from the employee, the appropriate performance standards. Follow the steps outlined in Chapter 3.
	Document the action plans. This means: <ul style="list-style-type: none"> • write the revisions on plain paper or on the GPAD form • date and sign the document • have the employee sign the document • give a copy to the employee • note on your copy the date the employee received the copy • retain your copy, along with the position description, for one year after completion of the General Performance Appraisal Document for that appraisal period.

(continued on next page)

CONDUCTING PERFORMANCE REVIEWS

Revising
performance
standards

Step	Procedure
8.	Develop, with participation from the employee, action plans for improving the employee's performance.
9.	Document the action plans. This means: <ul style="list-style-type: none"> • write the plan(s) on plain paper or on the periodic progress review worksheet • date and sign the plan • have the employee sign the plan • give a copy to the employee • note on your copy the date the employee received the copy • retain your copy, along with the position description, for one year after completion of the General Performance Appraisal Document for that appraisal period.
10.	Determine if any of an employee's performance standards need to be revised (changed, added or dropped). If <u>none</u> of the standards need to be revised, skip to step 13. A revision might be necessary if there have been changes in the organization's or work group's, <ul style="list-style-type: none"> • mission, goals, objectives • priorities • timeliness • resource allocations
11.	Revise, with participation from the employee, the appropriate performance standards. Follow the steps outlined in Chapter 3.
	Document the action plans. This means: <ul style="list-style-type: none"> • write the revisions on plain paper or on the GPAD form • date and sign the document • have the employee sign the document • give a copy to the employee • note on your copy the date the employee received the copy • retain your copy, along with the position description, for one year after completion of the General Performance Appraisal Document for that appraisal period.

(continued on next page)

CONDUCTING PERFORMANCE REVIEWS

Revising
performance
standards

Step	Procedure
8.	Develop, with participation from the employee, action plans for improving the employee's performance.
9.	Document the action plans. This means: <ul style="list-style-type: none"> • write the plan(s) on plain paper or on the periodic progress review worksheet • date and sign the plan • have the employee sign the plan • give a copy to the employee • note on your copy the date the employee received the copy • retain your copy, along with the position description, for one year after completion of the General Performance Appraisal Document for that appraisal period.
10.	Determine if any of an employee's performance standards need to be revised (changed, added or dropped). If <u>none</u> of the standards need to be revised, skip to step 13. A revision might be necessary if there have been changes in the organization's or work group's, <ul style="list-style-type: none"> • mission, goals, objectives • priorities • timeliness • resource allocations
11.	Revise, with participation from the employee, the appropriate performance standards. Follow the steps outlined in Chapter 3.
	Document the action plans. This means: <ul style="list-style-type: none"> • write the revisions on plain paper or on the GPAD form • date and sign the document • have the employee sign the document • give a copy to the employee • note on your copy the date the employee received the copy • retain your copy, along with the position description, for one year after completion of the General Performance Appraisal Document for that appraisal period.

(continued on next page)

Appendix A

CONDUCTING PERFORMANCE REVIEWS

Summary of
evaluation
checklists
for
conducting
performance
reviews

Appraising Performance

- ☐ Employee has had time to demonstrate performance standard.
- ☐ Actual performance observed.
- ☐ Actual performance recorded on plain paper or **optiona** worksheet.
- Cl Employee strengths and weaknesses noted on plain **pape** or optional worksheet.

Taking Planned Corrective Action

- ☐ Standards identified where actual performance is below the supervisor's requirement.
- Cl Causes of performance problem identified.
- Cl Causes separated into employee-related and environment-related causes.
- ☐ Action strategies selected for each cause.
- ☐ Action plans developed to improve employee performance for each standard not met.

Revising Performance Standards

Refer to Chapter 4.

Meeting to Review Progress

- ☐ Actual performance observations noted.
- ☐ Strong and weak areas of performance noted.
- ☐ *Corrective action plans to improve performance developed.
- ☐ *Performance standards revised.
- Cl Meeting time and location scheduled.
- ☐ Relevant topics discussed.
- ☐ Meeting results documented.

*Indicates step may not be required for some employees.

Appendix A

CONDUCTING PERFORMANCE REVIEWS

Summary of
evaluation
checklists
for
conducting
performance
reviews

Appraising Performance

- ☐ Employee has had time to demonstrate performance standard.
- ☐ Actual performance observed.
- ☐ Actual performance recorded on plain paper or **optiona** worksheet.
- Cl Employee strengths and weaknesses noted on plain **pape** or optional worksheet.

Taking Planned Corrective Action

- ☐ Standards identified where actual performance is below the supervisor's requirement.
- Cl Causes of performance problem identified.
- Cl Causes separated into employee-related and environment-related causes.
- ☐ Action strategies selected for each cause.
- ☐ Action plans developed to improve employee performance for each standard not met.

Revising Performance Standards

Refer to Chapter 4.

Meeting to Review Progress

- ☐ Actual performance observations noted.
- ☐ Strong and weak areas of performance noted.
- ☐ *Corrective action plans to improve performance developed.
- ☐ *Performance standards revised.
- Cl Meeting time and location scheduled.
- ☐ Relevant topics discussed.
- ☐ Meeting results documented.

*Indicates step may not be required for some employees.

Appendix A

CONDUCTING PERFORMANCE REVIEWS

Summary of
evaluation
checklists
for
conducting
performance
reviews

Appraising Performance

- ☐ Employee has had time to demonstrate performance standard.
- ☐ Actual performance observed.
- ☐ Actual performance recorded on plain paper or **optiona** worksheet.
- Cl Employee strengths and weaknesses noted on plain **pape** or optional worksheet.

Taking Planned Corrective Action

- ☐ Standards identified where actual performance is below the supervisor's requirement.
- Cl Causes of performance problem identified.
- Cl Causes separated into employee-related and environment-related causes.
- ☐ Action strategies selected for each cause.
- ☐ Action plans developed to improve employee performance for each standard not met.

Revising Performance Standards

Refer to Chapter 4.

Meeting to Review Progress

- ☐ Actual performance observations noted.
- ☐ Strong and weak areas of performance noted.
- ☐ *Corrective action plans to improve performance developed.
- ☐ *Performance standards revised.
- Cl Meeting time and location scheduled.
- ☐ Relevant topics discussed.
- ☐ Meeting results documented.

*Indicates step may not be required for some employees.

CONDUCTING THE ANNUAL APPRAISAL INTERVIEW

Step	Procedure
7.	<p>Decide if corrective action is needed to improve performance.</p> <p>If not, skip to Step 8.</p> <p>If corrective action is needed, refer to Chapter 5, Pages 66–68, for steps to follow.</p> <p>Determine how you will monitor these corrective actions to assure that they are accomplished.</p>
8.	<p>Decide if the job elements and performance standards are set for the next appraisal period.</p> <p>If they are set, skip to Step 9.</p> <p>Otherwise, begin the process of determining job elements and performance standards for the next appraisal period.</p> <p>Refer to Chapters 3 and 4 for steps to follow.</p>
9.	<p>Summarize the key points of the discussion.</p> <ul style="list-style-type: none"> • Summarize your overall ratings. • Summarize the details of any specific action to be taken. • Identify those areas where special attention should be directed during the next appraisal period. • Summarize any recommendations or remarks you plan to make.
10.	<p>Complete the interview.</p> <ul style="list-style-type: none"> • Inform the employee of his/her rights regarding any disagreements with the appraisal determinations. • Tell the employee when he/she will be able to review and sign the appraisal document. • Thank the employee for participating in the interview.
11.	<p>Complete the GPAD. Refer to Chapter 7 for steps to follow.</p>

CONDUCTING THE ANNUAL APPRAISAL INTERVIEW

Step	Procedure
7.	<p>Decide if corrective action is needed to improve performance.</p> <p>If not, skip to Step 8.</p> <p>If corrective action is needed, refer to Chapter 5, Pages 66-68, for steps to follow.</p> <p>Determine how you will monitor these corrective actions to assure that they are accomplished.</p>
8.	<p>Decide if the job elements and performance standards are set for the next appraisal period.</p> <p>If they are set, skip to Step 9.</p> <p>Otherwise, begin the process of determining job elements and performance standards for the next appraisal period.</p> <p>Refer to Chapters 3 and 4 for steps to follow.</p>
9.	<p>Summarize the key points of the discussion.</p> <ul style="list-style-type: none"> • Summarize your overall ratings. • Summarize the details of any specific action to be taken. • Identify those areas where special attention should be directed during the next appraisal period. • Summarize any recommendations or remarks you plan to make.
10.	<p>Complete the interview.</p> <ul style="list-style-type: none"> • Inform the employee of his/her rights regarding any disagreements with the appraisal determinations. • Tell the employee when he/she will be able to review and sign the appraisal document. • Thank the employee for participating in the interview.
11.	<p>Complete the GPAD. Refer to Chapter 7 for steps to follow.</p>

REQUIREMENTS FOR DOCUMENTING AND MAINTAINING RECORDS

Introduction

This appendix describes the requirements for documenting the appraisal process and maintaining these records.

Reference

The records identified below must be maintained in accordance with Section 3, Order 3290.3C, Official Personnel Records.

Record	Requirements
Job Elements and Performance Standards	<ul style="list-style-type: none"> • Copies of elements and performance standards shall be furnished to the employee and maintained by the immediate supervisor along with the position description. No specific form is required, and plain paper may be used. The supervisor shall note on his/her copy the date the employee was furnished copies. <p>*When job elements and/or standards are revised, the outdated copies shall be retained by the immediate supervisor for one year after completion of the annual performance rating for that appraisal period.</p>
Documentation of Progress Reviews	<p>*Results of periodic meetings between the employee and the supervisor during the appraisal period must be documented and a copy provided to the employee. The supervisor must obtain the signature of the employee as an indication of receipt of the copy.</p> <ul style="list-style-type: none"> • The Periodic Progress Review Worksheet or plain paper may be used for this documentation. • The supervisor should note on his/her copy the date the employee was furnished a copy and should retain the copy for one year after completion of the annual performance rating for that appraisal period.
Annual Performance Appraisal Document	<ul style="list-style-type: none"> • Copies of the completed form shall go to the employee and the servicing personnel office for inclusion in the employee's Official Personnel Folder.

REQUIREMENTS FOR DOCUMENTING AND MAINTAINING RECORDS

Introduction

This appendix describes the requirements for documenting the appraisal process and maintaining these records.

Reference

The records identified below must be maintained in accordance with Section 3, Order 3290.3C, Official Personnel Records.

Record	Requirements
Job Elements and Performance Standards	<ul style="list-style-type: none"> ● Copies of elements and performance standards shall be furnished to the employee and maintained by the immediate supervisor along with the position description. No specific form is required, and plain paper may be used. The supervisor shall note on his/her copy the date the employee was furnished copies. <p>*When job elements and/or standards are revised, the outdated copies shall be retained by the immediate supervisor for one year after completion of the annual performance rating for that appraisal period.</p>
Documentation of Progress Reviews	<p>*Results of periodic meetings between the employee and the supervisor during the appraisal period must be documented and a copy provided to the employee. The supervisor must obtain the signature of the employee as an indication of receipt of the copy.</p> <ul style="list-style-type: none"> ● The Periodic Progress Review Worksheet or plain paper may be used for this documentation. ● The supervisor should note on his/her copy the date the employee was furnished a copy and should retain the copy for one year after completion of the annual performance rating for that appraisal period.
Annual Performance Appraisal Document	<ul style="list-style-type: none"> ● Copies of the completed form shall go to the employee and the servicing personnel office for inclusion in the employee's Official Personnel Folder.

REQUIREMENTS FOR DOCUMENTING AND MAINTAINING RECORDS

Introduction

This appendix describes the requirements for documenting the appraisal process and maintaining these records.

Reference

The records identified below must be maintained in accordance with Section 3, Order 3290.3C, Official Personnel Records.

Record	Requirements
Job Elements and Performance Standards	<ul style="list-style-type: none"> ● Copies of elements and performance standards shall be furnished to the employee and maintained by the immediate supervisor along with the position description. No specific form is required, and plain paper may be used. The supervisor shall note on his/her copy the date the employee was furnished copies. <p>*When job elements and/or standards are revised, the outdated copies shall be retained by the immediate supervisor for one year after completion of the annual performance rating for that appraisal period.</p>
Documentation of Progress Reviews	<p>*Results of periodic meetings between the employee and the supervisor during the appraisal period must be documented and a copy provided to the employee. The supervisor must obtain the signature of the employee as an indication of receipt of the copy.</p> <ul style="list-style-type: none"> ● The Periodic Progress Review Worksheet or plain paper may be used for this documentation. ● The supervisor should note on his/her copy the date the employee was furnished a copy and should retain the copy for one year after completion of the annual performance rating for that appraisal period.
Annual Performance Appraisal Document	<ul style="list-style-type: none"> ● Copies of the completed form shall go to the employee and the servicing personnel office for inclusion in the employee's Official Personnel Folder.

Appendix C

HOW PERFORMANCE APPRAISAL **LINKS** WITH OTHER PERSONNEL ACTIONS

Action	How It, Relates	Components
Reduction-In-Force (RIF)	OPM regulations require that additional service credit of up to four years for RIF purposes shall be given to employees based upon their current performance appraisal.	(see table below)

How
much additional
service credit
an employee
receives

If the employee's total performance appraisal score is between....	. . . the additional service credit will be:
0 - 1.00* 1.01 - 1.25 1.26 - 1.50 1.51 - 1.74 1.75 - 2.00	No credit 1 year 2 years 3 years 4 years

*or an "unsatisfactory" rating based on failure to meet the standard(s) for any **CJE**.

Appendix C

HOW PERFORMANCE APPRAISAL LINKS WITH OTHER PERSONNEL ACTIONS

Action	How It, Relates	Components
Reduction-In-Force (RIF)	OPM regulations require that additional service credit of up to four years for RIF purposes shall be given to employees based upon their current performance appraisal.	(see table below)

How much additional service credit an employee receives

If the employee's total performance appraisal score is between....	. . . the additional service credit will be:
0 - 1.00* 1.01 - 1.25 1.26 - 1.50 1.51 - 1.74 1.75 - 2.00	No credit 1 year 2 years 3 years 4 years

*or an "unsatisfactory" rating based on failure to meet the standard(s) for any **CJE**.

Appendix C

HOW PERFORMANCE APPRAISAL LINKS WITH OTHER PERSONNEL ACTIONS

Action	How It, Relates	Components
Reduction-In-Force (RIF)	OPM regulations require that additional service credit of up to four years for RIF purposes shall be given to employees based upon their current performance appraisal.	(see table below)

How much additional service credit an employee receives

If the employee's total performance appraisal score is between....	. . . the additional service credit will be:
0 - 1.00* 1.01 - 1.25 1.26 - 1.50 1.51 - 1.74 1.75 - 2.00	No credit 1 year 2 years 3 years 4 years

*or an "unsatisfactory" rating based on failure to meet the standard(s) for any **CJE**.

PARTIAL EXAMPLE

Position: Motor Vehicle Operator
 Series: **WG-5703**
 Grade: 5

Performance
Standards

Work Tasks
 (From Position Description)

Job Element(s)

I Vehicle Operation
(CJE)

- A. Operates gasoline, diesel, or electric vehicles with gross vehicle weight of up to **7,000** pounds.

I Vehicle Operation
(CJE)

1. Skillfully drives a variety of vehicles, judging distances and clearances, determining best routes to take, and moving cargo or passengers as judged by the supervisor.
2. Assignments are carried out in an expeditious manner within the **agreed-** upon time frames **95%** of the time.
3. Reportable incidents limited to two per year. (Degree of negligence will be considered).

II Preventive Maintenance
(CJE)

- B. Performs daily **preventive** maintenance to assure proper care of government vehicles.

II Preventive
Maintenance (CJE)

1. Performs preventive maintenance check daily before operating vehicle.
2. Corrects all deficiencies not requiring mechanical knowledge.
3. Informs the supervisor within 2 hours of any malfunction of vehicle.
4. Assigned vehicles require no more than two unscheduled maintenance or service actions because of drivers.

PARTIAL EXAMPLE

Position: Motor Vehicle Operator
 Series: **WG-5703**
 Grade: 5

Performance
Standards

Work Tasks
 (From Position Description)

Job Element(s)

I Vehicle Operation
(CJE)

- A. Operates gasoline, diesel, or electric vehicles with gross vehicle weight of up to **7,000** pounds.

I Vehicle Operation
(CJE)

1. Skillfully drives a variety of vehicles, judging distances and clearances, determining best routes to take, and moving cargo or passengers as judged by the supervisor.
2. Assignments are carried out in an expeditious manner within the **agreed-** upon time frames **95%** of the time.
3. Reportable incidents limited to two per year. (Degree of negligence will be considered).

II Preventive Maintenance
(CJE)

- B. Performs daily **preventive** maintenance to assure proper care of government vehicles.

II Preventive
Maintenance (CJE)

1. Performs preventive maintenance check daily before operating vehicle.
2. Corrects all deficiencies not requiring mechanical knowledge.
3. Informs the supervisor within 2 hours of any malfunction of vehicle.
4. Assigned vehicles require no more than two unscheduled maintenance or service actions because of drivers.

lossary

ACCEPTABLE LEVEL OF COMPETENCE DETERMINATION reflects whether or not an employee has performed the duties and responsibilities of his/her position at a fully acceptable level during the **appropriate waiting** period or any other period of time established as appropriate for a determination. It is the basis for granting or denying within-grade pay increases. Appendix 4 of Order **3400** contains detailed procedures for making acceptable level of competence determinations.

ANNUAL PERFORMANCE RATING is the term (Outstanding, Fully Acceptable, or Unsatisfactory) which summarizes the employee's performance during the appraisal period. The rating is assigned by the immediate supervisor in Section VI of the General Performance Appraisal Document.

APPRAISAL **PERIOD** is the period of time established in an appraisal system for which an employee's performance will be reviewed.

COVERED EMPLOYEE is an individual who occupies a position in the General Schedule or Federal Wage System which is either:

- below grade **13**; or
- grade **13** and above but NOT in the merit pay or senior executive service systems.

COVERED SUPERVISOR is an individual who 'is classified at no higher than **GS-12** and properly classified under the Supervisory Grade Evaluation Guide (**SSEG**) as "supervisory"; or is classified under the Job Grading Standard for Supervisors (for Federal Wage System employees) as "supervisory."

CRITICAL JOB ELEMENTS (**CJEs**) are any components of a job of sufficient importance that performance below the minimum standard established by management requires remedial action and **denial of** a within-grade increase, and which may be the basis for reassigning, demoting, or removing the employee. Such actions may be taken without regard to the level of performance in other elements of the job.

DAYS means calendar days unless otherwise indicated.

IMMEDIATE SUPERVISOR is the first level of supervision over the employee being rated which has the responsibilities of assigning performance appraisals and recommending awards. This person is also identified as the rating official.

OTHER JOB ELEMENTS (**OJEs**) are duties, functions and responsibilities of the position that are significant but do not meet the critical job element definition.

PERFORMANCE APPRAISAL is a written assessment of an employee's actual performance in comparison to performance standards established for critical and other job elements of the position.

lossary

ACCEPTABLE LEVEL OF COMPETENCE DETERMINATION reflects whether or not an employee has performed the duties and responsibilities of his/her position at a fully acceptable level during the **appropriate waiting** period or any other period of time established as appropriate for a determination. It is the basis for granting or denying within-grade pay increases. Appendix 4 of Order 3400 contains detailed procedures for making acceptable level of competence determinations.

ANNUAL PERFORMANCE RATING is the term (Outstanding, Fully Acceptable, or Unsatisfactory) which summarizes the employee's performance during the appraisal period. The rating is assigned by the immediate supervisor in Section VI of the General Performance Appraisal Document.

APPRAISAL **PERIOD** is the period of time established in an appraisal system for which an employee's performance will be reviewed.

COVERED EMPLOYEE is an individual who occupies a position in the General Schedule or Federal Wage System which is either:

- below grade **13**; or
- grade **13** and above but NOT in the merit pay or senior executive service systems.

COVERED SUPERVISOR is an individual who 'is classified at no higher than **GS-12** and properly classified under the Supervisory Grade Evaluation Guide (**SSEG**) as "supervisory"; or is classified under the Job Grading Standard for Supervisors (for Federal Wage System employees) as "supervisory."

CRITICAL JOB ELEMENTS (**CJEs**) are any components of a job of sufficient importance that performance below the minimum standard established by management requires remedial action and **denial of** a within-grade increase, and which may be the basis for reassigning, demoting, or removing the employee. Such actions may be taken without regard to the level of performance in other elements of the job.

DAYS means calendar days unless otherwise indicated.

IMMEDIATE SUPERVISOR is the first level of supervision over the employee being rated which has the responsibilities of assigning performance appraisals and recommending awards. This person is also identified as the rating official.

OTHER JOB ELEMENTS (**OJEs**) are duties, functions and responsibilities of the position that are significant but do not meet the critical job element definition.

PERFORMANCE APPRAISAL is a written assessment of an employee's actual performance in comparison to performance standards established for critical and other job elements of the position.

lossary

ACCEPTABLE LEVEL OF COMPETENCE DETERMINATION reflects whether or not an employee has performed the duties and responsibilities of his/her position at a fully acceptable level during the **appropriate waiting** period or any other period of time established as appropriate for a determination. It is the basis for granting or denying within-grade pay increases. Appendix 4 of Order 3400 contains detailed procedures for making acceptable level of competence determinations.

ANNUAL PERFORMANCE RATING is the term (Outstanding, Fully Acceptable, or Unsatisfactory) which summarizes the employee's performance during the appraisal period. The rating is assigned by the immediate supervisor in Section VI of the General Performance Appraisal Document.

APPRAISAL **PERIOD** is the period of time established in an appraisal system for which an employee's performance will be reviewed.

COVERED EMPLOYEE is an individual who occupies a position in the General Schedule or Federal Wage System which is either:

- below grade **13**; or
- grade **13** and above but NOT in the merit pay or senior executive service systems.

COVERED SUPERVISOR is an individual who 'is classified at no higher than **GS-12** and properly classified under the Supervisory Grade Evaluation Guide (**SSEG**) as "supervisory"; or is classified under the Job Grading Standard for Supervisors (for Federal Wage System employees) as "supervisory."

CRITICAL JOB ELEMENTS (**CJEs**) are any components of a job of sufficient importance that performance below the minimum standard established by management requires remedial action and **denial of** a within-grade increase, and which may be the basis for reassigning, demoting, or removing the employee. Such actions may be taken without regard to the level of performance in other elements of the job.

DAYS means calendar days unless otherwise indicated.

IMMEDIATE SUPERVISOR is the first level of supervision over the employee being rated which has the responsibilities of assigning performance appraisals and recommending awards. This person is also identified as the rating official.

OTHER JOB ELEMENTS (**OJEs**) are duties, functions and responsibilities of the position that are significant but do not meet the critical job element definition.

PERFORMANCE APPRAISAL is a written assessment of an employee's actual performance in comparison to performance standards established for critical and other job elements of the position.

SUPERVISOR'S DESK GUIDE

for the
Federal Aviation Administration's
General Performance Appraisal System



Federal Aviation Administration
U.S. Department of Transportation

